

## 7b Notifications and Requests for the SPO

The Notifications and Requests section is a part of the Research Administration module of FastLane. This section of FastLane section has many functions and features, which will be explained in detail later. Chapter 7b is to be used by an SPO only. PIs should use Chapter 7a for all notifications and requests.

To gain access to the Notifications and Requests section the SPO needs to complete the following steps:

1. Login to FastLane and select *Research Administration*.
2. The *Research Administration Home Page* (Figure 1) appears.

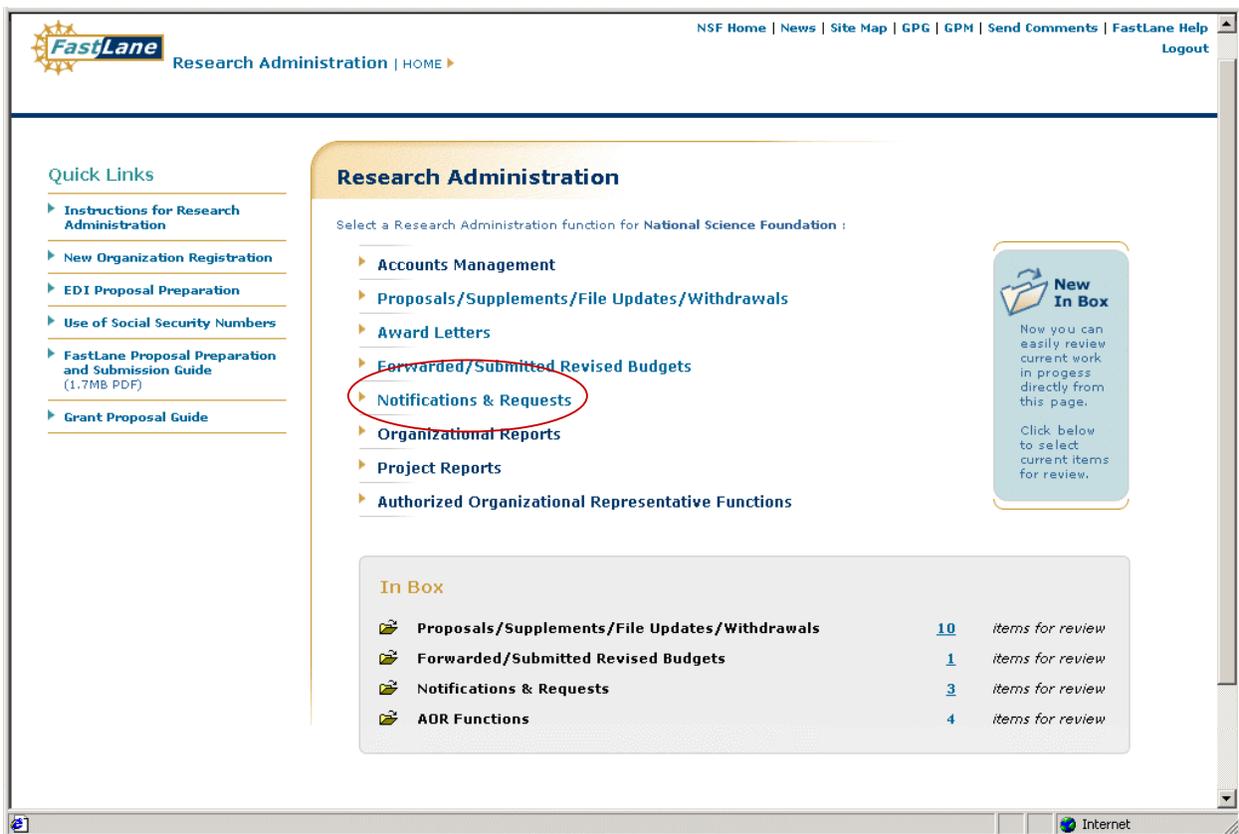
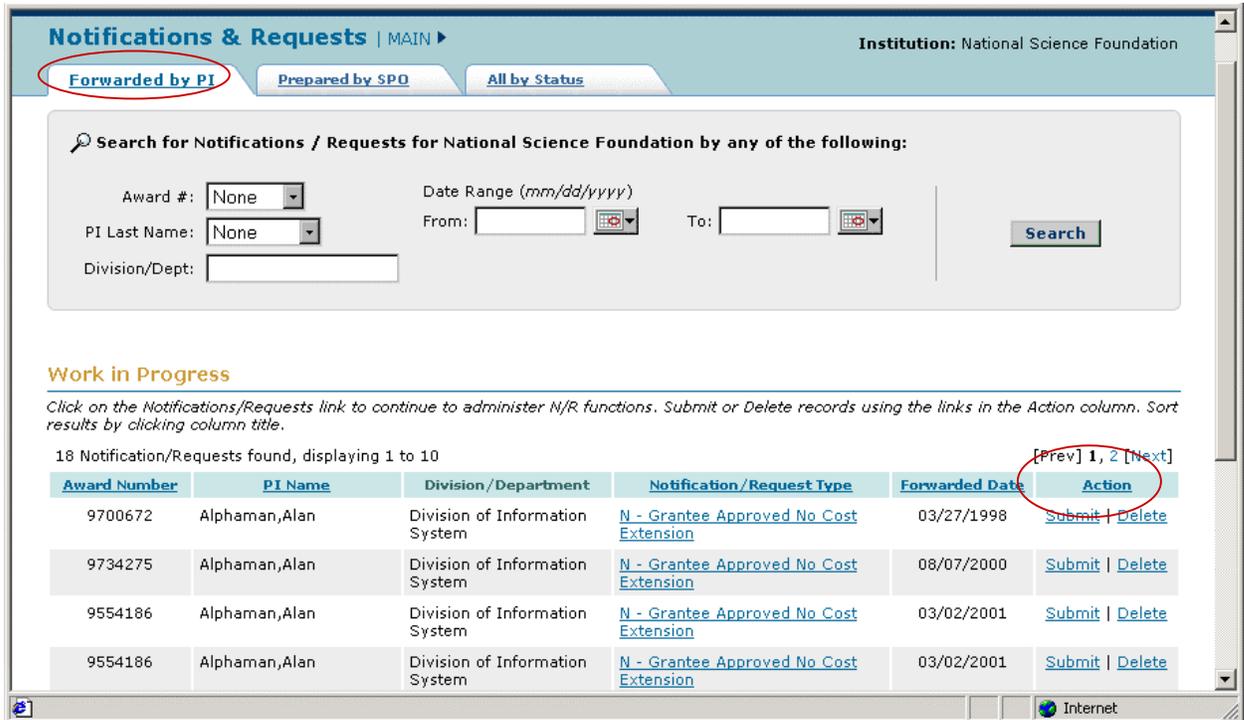


Figure 1. Research Administration Home Page

3. Select *Notifications and Requests* (circled in Figure 1).
4. The Forwarded by PI tab will appear (Figure 2).



**Figure 2. Forwarded by PI Tab Screen**

5. You are ready to begin using the Notifications and Requests section. Three tabs found in the Notifications and Requests section are:

- Forwarded by PI
- Prepared by SPO
- All by Status

Each tab has its own functionality/features and is explained in the succeeding sections of Chapter 7b.

## Forwarded by PI

The *Forwarded by PI Tab* page (Figure 2) appears when the Notifications and Requests link is clicked on from the Research Administration Main Page. It displays the work in progress notifications and requests that are for review. Documents are listed by the following column title criteria:

- Award Number
- PI Name
- Division/Department
- Notification/Request Type
- Forwarded Date.

Click on the column title to sort the documents by criteria.

Each work in progress in the Notification/Request Type column will begin with an N or R meaning whether the document is a Notification or a Request.

## Search for Notifications and Requests

The search function in Figure 2 (highlighted in Figure 3) provides users with the capability to search a date range and other information. Options in this search function include:

- **Award #.** Drop down menu containing award numbers.
- **PI Last Name.** Drop down menu containing all PI awards in the work in progress list.
- **Division/Department.** Enter a department or division name.
- **Date Range.** Use the calendar function to select an appropriate range of dates or enter the data in mm/dd/yyyy format. Dates are based on the modification made to a Notification or Request.

Search for Notifications / Requests for National Science Foundation by any of the following:

Award #:  Date Range (mm/dd/yyyy)  
PI Last Name:  From:  To:   
Division/Dept:

Figure 3. Search function

Once you are satisfied with your criteria, click **Search**. An updated list will appear (Figure 2). To view on a particular document, click on the corresponding Notification/Request Type for each work in progress. The *View Notification/Request Page* will appear (Figure 4). Any Notification and Request view action will display a screen similar to the screen found in Figure 4.

## Actions to Notifications/Requests

For each document forwarded by a PI, the SPO can perform the following actions:

- Modify
- Return to PI
- Submit to NSF
- Delete. Click on Cancel to return to the Forwarded by PI Tab (Figure 1).

*Action* (list column heading circled in Figure 2) allows the SPO to submit and delete each work forwarded by the PI directly from this screen.

**Modify.** Any Notification and Request Modify action will display a screen similar to the screen found in Figure 4. The following generic steps are used when you wish to modify:

1. Click **Modify** (circled in Figure 4) to alter displayed information.
2. A *Modify Notification/Request Screen* (Figure 5) will appear showing all data that can be modified.
3. Modify the text boxes or fields by deletion or addition of data.
4. Click **Save**. Click **Cancel** to go back to the *View Notification/Request Page* (Figure 4).

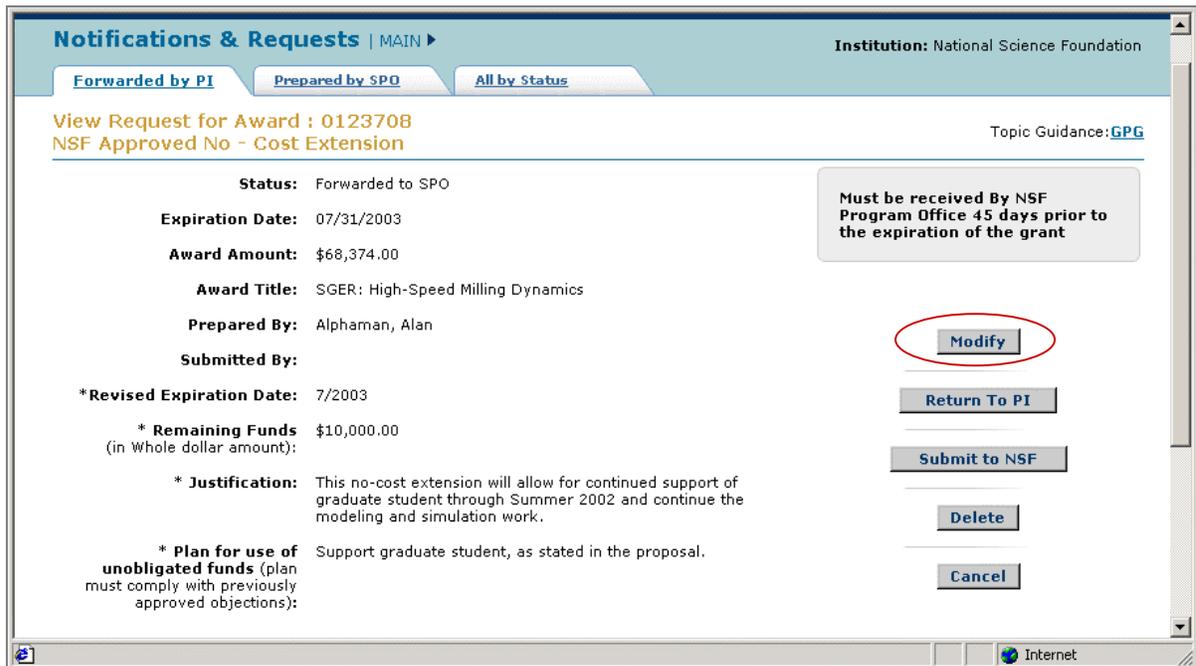


Figure 4. View Notification/Request Page (Modify)

**Notifications & Requests** | MAIN ▶ Institution: National Science Foundation

Forwarded by PI | Prepared by SPO | All by Status

Modify Request for Award # : 0123708 Topic Guidance: [GPG](#)  
NSF Approved No - Cost Extension

**Status:** Forwarded to SPO

**Expiration Date:** 07/31/2003

**Award Amount:** \$68,374.00

**Award Title:** SGER: High-Speed Milling Dynamics

**Prepared By:** Alphaman, Alan

**Submitted By:**

**\* Revised Expiration Date:**  (MM/YYYY - always expires on the last day of the month)

**\* Remaining Funds** (in Whole dollar amount):

**\* Justification**

**\* Plan for use of unobligated funds** (plan

**Must be received By NSF Program Office 45 days prior to the expiration of the grant**

Figure 5. Modify Notification/Request

**Return to PI.** Any Notification and Request Return to PI action will display a screen similar to the screen found in Figure 6. The following generic steps are used when you wish to Return to PI:

1. Click **Return to PI** (circled in Figure 6) to send the current forwarded document back to the PI for alterations.
2. A *Return Notification/Request Screen* (Figure 7) will appear.
3. Enter the reason why the request was returned in the provide text box. Click **Return to PI**.
4. Click **Cancel** to go back to the *View Notification/Request Page* (Figure 6).

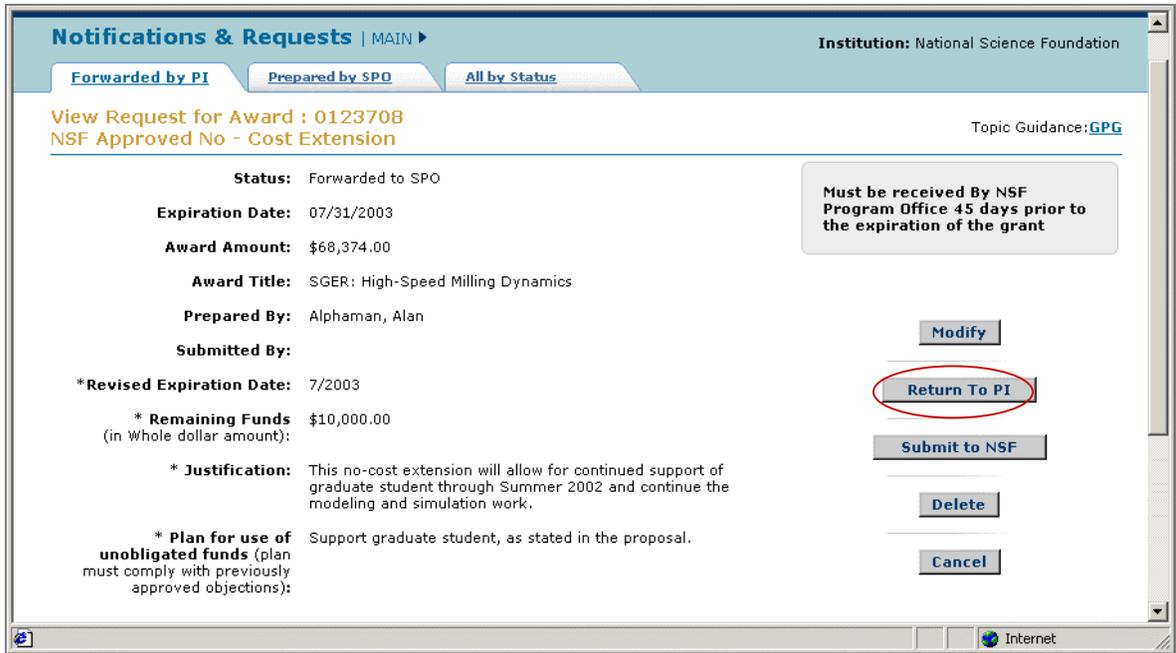


Figure 6. View Notification/Request Page (Return to PI)

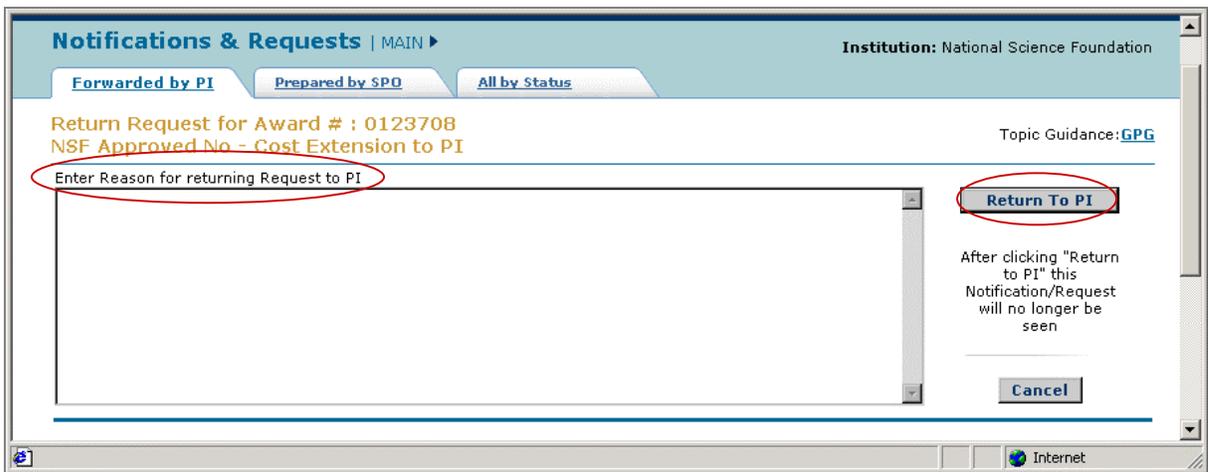


Figure 7. Return Notification/Request

**Submit to NSF.** Any Notification and Request Submit to NSF action will display a screen similar to the screen found in Figure 8. The following generic steps are used when you wish to Submit to NSF:

1. Click **Submit to NSF** (circled in Figure 8) to change the status of the document from Work in Progress to Submitted to NSF.
2. A *Submit Notification/Request Screen* (Figure 9) will appear and ask if you are sure about your action. Click **Submit to NSF** to continue with the action.
3. Click **Cancel** to go back to the *View Notification/Request Page* (Figure 8).

A Notification/Request can be submitted to the NSF without viewing the View Notification Request Page (Figure 8). Click **Submit** on the *Forwarded by PI Screen* (Figure 2) to go directly to the *Submit Notification/Request Screen* (Figure 9).



Figure 8. View Notification/Request Page (Return to PI)

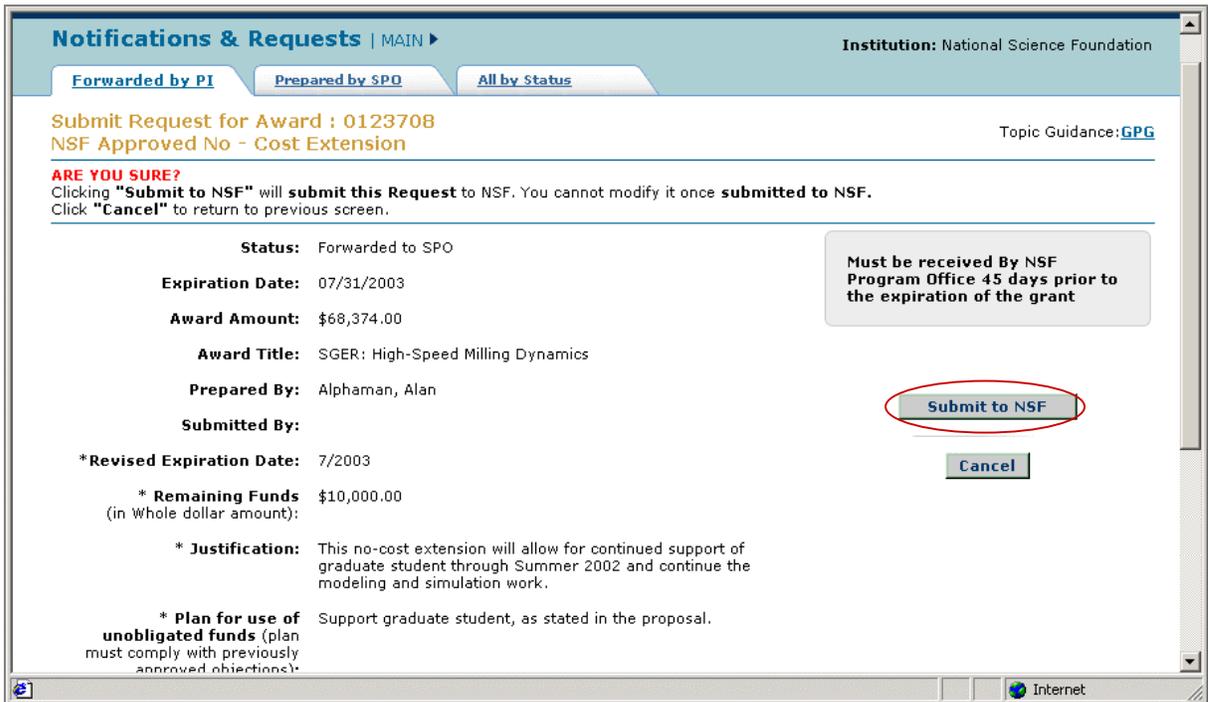


Figure 9. Submit Notification/Request

**Delete.** Any Notification and Request Delete action will display a screen similar to the screen found in Figure 10. The following generic steps are used when you wish to delete:

1. Click **Delete** (circled in Figure 10) to remove the Notification/Request document from the Work in Progress section.
2. A *Delete Notification/Request Screen* (Figure 11) will appear and ask if you are sure about your action. Click **Delete** to continue with the action.
3. Click **Cancel** to go back to the *View Notification/Request Page* (Figure 10).

A Notification/Request can be deleted without viewing the View Notification Request Page (Figure 10). Click **Delete** on the *Forwarded by PI Screen* (Figure 2) to go directly to the *Delete Notification/Request Screen* (Figure 11).

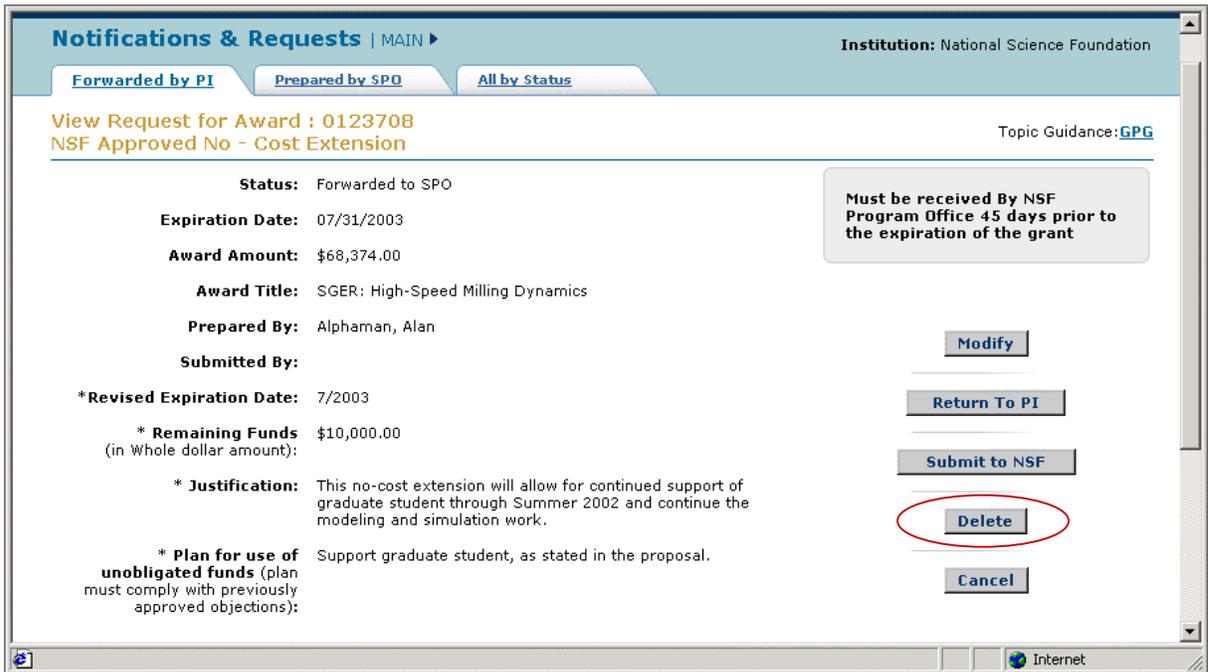


Figure 10. View Notification/Request Page (Delete)

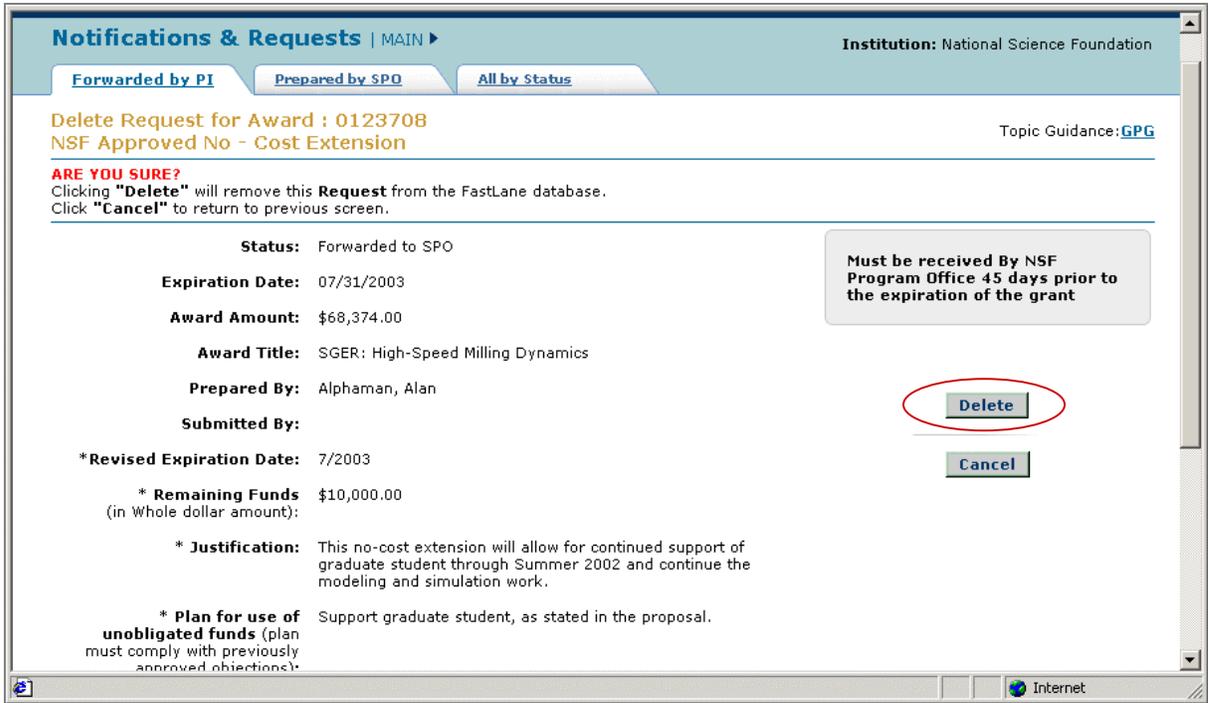


Figure 11. Delete Notification Request

**NOTE:** For all actions listed in the previous tabs, the Action Confirmation Screen (Figure 12) will appear with a message that your transaction was completed. Figure 12 is an example of one Confirmation Screen.



Figure 12. Action Confirmation Screen

## Prepared by SPO

The *Prepared by SPO Tab* page appears when it is clicked on from the *Forwarded by PI Tab* page (Figure 2). It lists the notifications and requests in progress that can be created or have already been created by the SPO. Documents are listed by the following column title criteria:

- Award Number
- PI Name
- Division/Department
- Notification/Request Type
- Award Date.

Click on the column title to sort the documents by criteria.

Each work in progress in the Notification/Request Type column will begin with an N or R meaning whether the document is a Notification or a Request. *Action* (function circled in Figure 13) allows the SPO to submit and delete each work directly from this screen.

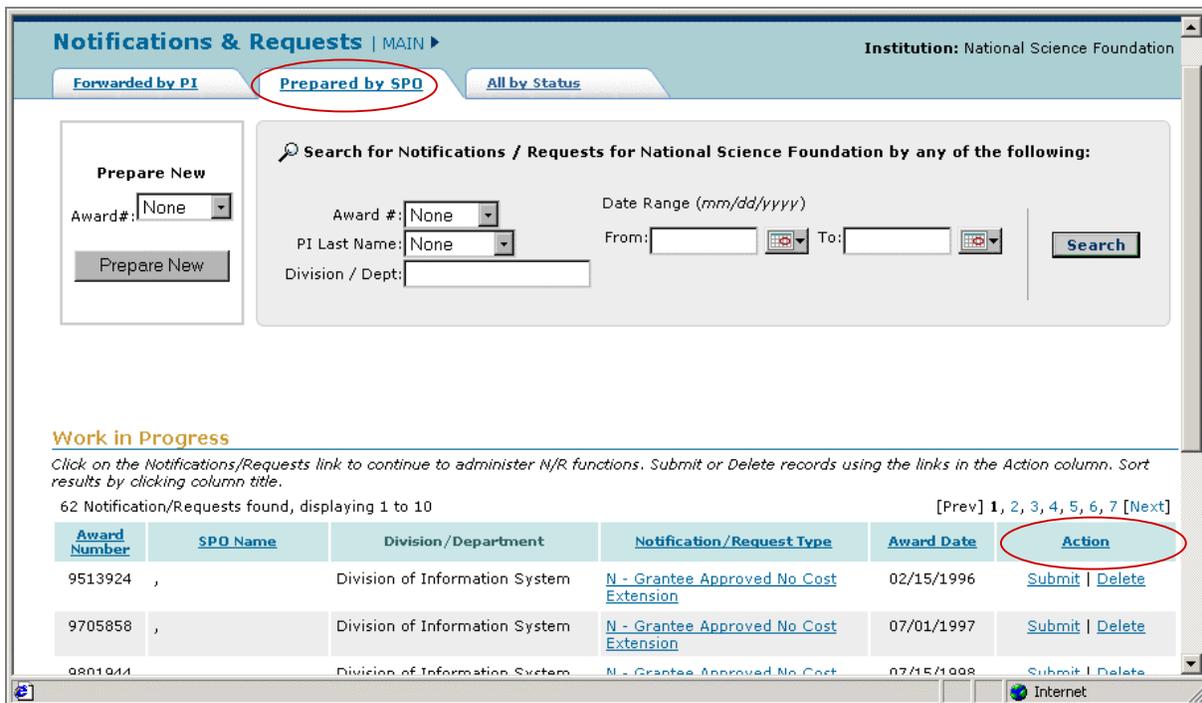


Figure 13. Prepared by SPO Tab

## Search for and Actions to Notifications and Requests



The user completes the same directions found in the *Forwarded by PI* section under *Search for Notification and Requests* as well as Actions to Notifications and Requests (Refer to Page 7b-4). Regardless of the *View Notification/Request Page* (Figure 14) seen by the SPO, he/she has the similar action choices except for **Return to PI**. This action is not applicable to an SPO who creates a Notification or Request.

Figure 14. Section of the View Notification/Request Page

## Prepare New Notification and Request

An SPO can prepare a new Notification and Request. To create a new notification or request, complete the following steps:



1. The **Prepare New** action (Figure 15), found in Figure 13, allows the SPO to create a new notification or request based on a specific award number.
2. Select an applicable award number from the drop down menu. Awards that belong to the user are shown here.

Figure 15. Prepare New Action

3. Click **Prepare New**.
4. The *Select the Notification or Request Type* Page (Figure 16) will appear.
5. Click on the desired Notification or Request Type radio button and click **Prepare**. Go to Step 6.

Or

Click **Cancel** to return to the *Prepared by SPO Tab* (Figure 13). Do not go to Step 6.

**Select the Notification or Request Type:**

GRANTEE NOTIFICATION TYPES	Topic Guidance	GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	<a href="#">GPM</a>	<input type="radio"/> Addition of SubAward	<a href="#">GPM</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">GPG</a>	<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">GPM</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">GPM</a>	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">GPM</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">GPM</a>	<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">GPG</a>
<input type="radio"/> Conflicts of Interests	<a href="#">GPM</a>	<input type="radio"/> PI Transfer	<a href="#">GPM</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">GPM</a>	<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">GPM</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<a href="#">GPM</a>	<input type="radio"/> Rearrangement/Alteration \$25,000 or over	<a href="#">GPM</a>
		<input type="radio"/> Change PI and Add/Change Co-PI	<a href="#">GPM</a>
		<input type="radio"/> Significant Change in Person-Months Devoted to Project	<a href="#">GPM</a>
		<input type="radio"/> Changes in Objective or Scope	<a href="#">GPM</a>
		<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<a href="#">GPM</a>

\*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references

**Figure 16. Select the Notification or Request Type**

6. Click on **GPM** or **GPG** to view detailed information on each notification or request type from the Grant Policy Manual (GPM) or Grant Proposal Guide (GPG).

Detailed directions for completing each of these various actions are found in *Notification/Request Input Screens* (beginning on Page 7b-13).

## Notification and Request Input Screens

### Grantee Notification Types

#### Anticipated Residual Funds in excess of \$5,000 or 5%

Whenever the amount of Federal funds authorized by an NSF grant is expected to exceed the requirements of the project, as outlined in the approved proposal, by more than \$5,000 or 5 percent of the grant amount, whichever is greater, the grantee will promptly notify the NSF Program Officer. Create this notification by completing the following steps:

1. Click on *Anticipated Residual Funds in excess of \$5,000 or 5%* radio button from the *Select Notification or Request Type Screen* (Figure 16) and click **Prepare**.
2. The *Anticipated Residual Funds in Excess of \$5,000 or 5% Grantee Notification Screen* (Figure 17) will appear.
3. Enter the Excess Funds into the required field using the greater number concerning \$5,000 or 5%.
4. Enter in the Justification for the Anticipated of Residual Funds.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 15).

The screenshot shows a web application window titled "Notifications & Requests | MAIN". The institution is identified as "National Science Foundation". There are three tabs: "Forwarded by PI", "Prepared by SPO", and "All by Status". The main content area displays a notification for "Award # : 9996340" with the subject "Anticipated Residual Funds in excess of \$5,000 or 5% (Whichever is greater)". A link for "Topic Guidance: GPM" is provided. The form includes the following fields and values:

- Status: New
- Expiration Date: 12/31/2002
- Award Amount: \$200,000.00
- Award Title: CAREER: Transcending the Limits to ILP Processing
- \*Excess Funds:  (in whole dollar amount)
- \*Justification for Anticipated Residual Funds:

Buttons for "Save" and "Cancel" are located to the right of the form fields. The browser's address bar at the bottom shows "Internet".

Figure 17. Anticipated Residual Funds in Excess of \$5,000 or 5% Grantee Notification

**Grantee Approved No Cost Extension**

The Grantee Approved No Cost Extension is a one-time extension of the expiration date of the grant of up to 12 months if additional time beyond the established expiration date is required to assure adequate completion of the original scope of work within the funds already made available. The following conditions apply:

1. The one time extension may not be exercised merely for the purpose of using unliquidated balances.
2. The grantee shall notify NSF, providing supporting reasons for the extension and the revised expiration date, at least ten days prior to the expiration date specified in the grant to ensure accuracy of NSF's grant data.
3. All grantee-approved extension notifications must be submitted via the FastLane system and no amendment will be issued.

The following actions are made to complete this notification:

1. Click on *Grantee Approved No Cost Extension* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Grantee Approved No Cost Extension Screen* (Figure 18) will appear.
3. Enter in the Revised Expiration Date.
4. Enter the Justification for Grantee Approved No-Cost Extension.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web application window titled "Notifications & Requests | MAIN". The institution is identified as "Rensselaer Polytechnic Institute". There are three tabs: "Forwarded by PI", "Prepared by SPO", and "All by Status". The main content area displays a notification for "Award # :9984478" with the title "Grantee Approved No-Cost Extension". A link for "Topic Guidance:GPG" is provided. The form includes the following fields and labels:

- Status:** New
- Expiration Date:** 12/31/2003
- Award Title:** CAREER: Microstructure Evolution and Interfacial Reaction Paths in Cu Alloy Thin Films
- \* Revised Expiration Date:**  (MM/YYYY - Always expires on the last day of the month)
- \* Justification for Grantee Approved No-Cost Extension:**   
(Note: This one time extension may not be exercised merely for the purpose of using the unliquidated obligation);

Buttons for "Save" and "Cancel" are located to the right of the form fields. The browser's status bar at the bottom shows "Internet".

Figure 18. Grantee Approved No Cost Extension Grantee Notification

**Cost Sharing Equal To or Greater Than \$500,000**

NSF expects grantees to provide the cost sharing information and complete annual certifications for awards with cost sharing requirements of \$500,000 or more. The Cost Sharing Notification provides SPOs with a mechanism to submit an annual Cost Sharing Amount for their projects. An SPO with AOR permissions can sign and submit this notification. An SPO without AOR permissions can only forward this notification to the AOR.

When preparing a Cost Sharing Equal To or Greater Than \$500,000 Notification, the following conditions apply:

1. The Notification is needed when the cumulative Line M budget amount is greater than or equal to \$500,000.
2. Cost sharing notifications cannot be prepared with overlapping periods.
3. All fields with a \* are mandatory.

There are four methods in which a Cost Sharing Equal To or Greater Than \$500,000 Notification is prepared. Please select the appropriate situation depending on your situation:

**Method One:** Complete a Cost Sharing Equal To or Greater Than \$500,000 Notification for a first year Line M budget amount that is greater than or equal to \$500,000.

1. Click on *Cost Sharing Equal To or Greater Than \$500,000* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Screen* (Figure 19) will appear.
3. Enter in the *Start* and *End* Dates.
  - a. Entries must be submitted beginning with the Start and End Date for the reporting period.
  - b. The Start and End Date text boxes cannot be left blank.
  - c. The Start Date cannot be greater than the End Date.
  - d. The Start Date and end dates should not be greater than today's date.
  - e. The Start Date and End Date are defaulted based on the Award Effective Date. However, the dates can always be changed.
  - f. For the first year (i.e. preparing the Cost Sharing of Equal To or Greater Than \$500,000 Notification for the first time through Research Administration), the period range should be less than or equal to a year.

Figure 19. Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification

4. Enter in Amount for *Cost Sharing Amount for the Reporting Period*.
5. Enter in Amount for *Cumulative Cost Sharing Amount Reported to Date*.
  - a. The Cost-sharing amount needs to be entered into the next field along with the cumulative cost-sharing amount reported to this date.
  - b. When a cost sharing notification is being prepared for the first time through Research Administration, then *Cumulative Cost Sharing Amount Reported to Date* should be equal to (if it is the first award year) or greater than (as the Cost Sharing Notification may be submitted in hard copy for the previous years) the *Cost Sharing Amount for the Reporting Period*.
  - c. Amount fields do not allow \$ signs or a comma.
6. Click on the appropriate *Cost Sharing Notification Type* button: Either Annual Cost Sharing Notification Type or Final Cost Sharing Notification Amount.
7. Add an explanation for the occurrence in the text box.
8. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 20) will appear. (Figure is of a notification of a follow on year Cost Sharing Notification) NOTE: Notice that **Return to PI** is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type* Page (Figure 15).

**View Notification for Award : 0700000**  
**Cost Sharing Equal To or Greater Than \$500,000** Topic Guidance: [GPM](#)

*Enter the Start and End Dates (mm/dd/yyyy) and the Cost Sharing Amount for the reporting period.  
 Enter the Cumulative Cost Sharing Amount reported to date (including the Cost Sharing Amount for this reporting period.)*

**Status:** Work in Progress **Modify**

**Expiration Date:** 03/15/2010 **Submit to NSF**

**Award Title:** Rules **Delete**

**\*Start Date:** 12/10/1999 **Cancel**

**\*End Date:** 12/09/2000

**\*Cost Sharing Amount for the reporting period:** \$9,500.00

**\*Cumulative Cost Sharing Amount reported to date:** \$25,000.00  
 (including the Cost Sharing Amount for this reporting period)

**\*Cost Sharing Notification Type:** Annual Cost Sharing Notification

**Explanation:** For test purpose

**Annual Cost Sharing History:**

Period	AOR Name	AOR Date Signed	NSF Reviewed Date	Fiscal Year	Reported Period Start Date	Reported Period End Date	Reported Period Cost Sharing Amount	Cumulative Cost Sharing Amount Reported to Date
1	alphanan, Alan	09/13/2003			03/15/2001	03/14/2002	\$1,000.00	\$5,000.00
2	alphanan, Alan	12/09/2003			03/15/2002	03/14/2003	\$10,000.00	\$15,000.00
3	alphanan, Alan	12/09/2003			03/15/2003	12/09/2003	\$500.00	\$15,500.00

**Cumulative Budgeted Line M Amount:** \$0.00

**Difference:** \$11,500.00  
 (This amount does not include any cost sharing amounts previously reported to NSF in hardcopy)

**Figure 20. View Notification Request Screen (Cost Sharing)**

**Method Two:** Complete a Cost Sharing Equal To or Greater Than \$500,000 Notification for a first year Line M budget amount that is less than or equal to \$500,000.

1. Click on *Cost Sharing Equal To or Greater Than \$500,000* radio button from the *Select Notification or Request Type* Screen (Figure 16) and click **Prepare**.
2. The *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Not Required* Screen (Figure 21) will appear.

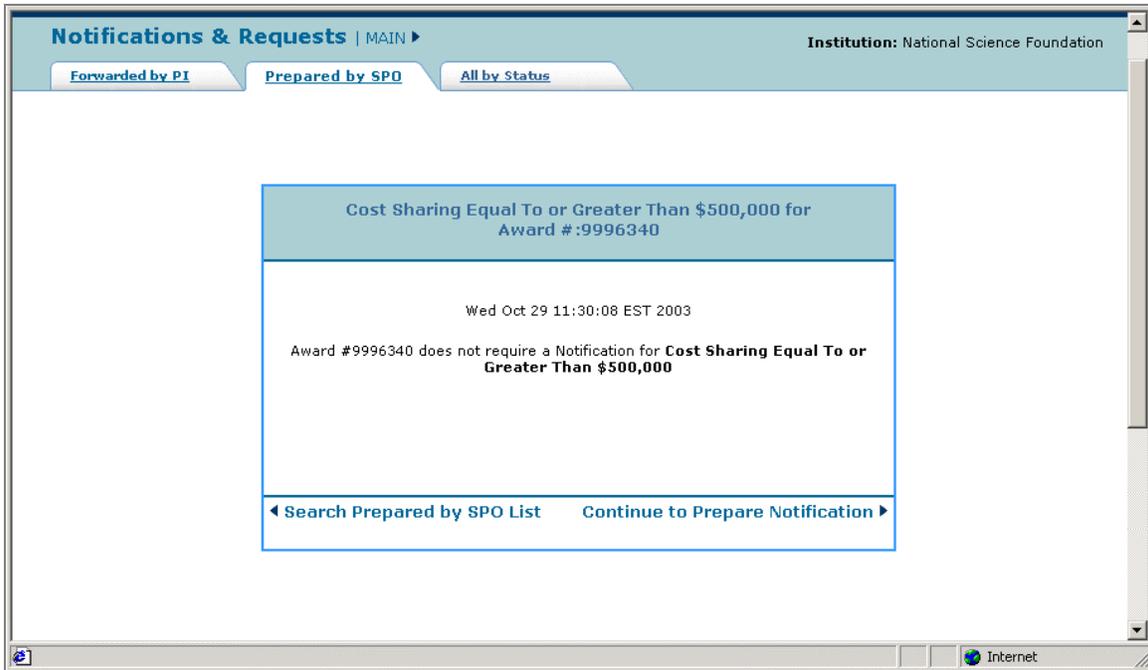


Figure 21. Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Not Required

3. If you wish to create a notification regardless if the notification is less than the \$500,000 limit, click **Continue to Prepare Notification**, the *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Screen* (Figure 19) will appear. Continue to Step 4.

Or

If you do not wish to complete a notification, click **Search Prepared by SPO List**, the *Select the Notification or Request Type Page* (Figure 16) will appear. Do not continue to Step 4.

4. Go to Step 3 in Method One.

**Method Three:** Complete a Cost Sharing Equal To or Greater Than \$500,000 Notification for a follow on year Line M budget amount that is greater than or equal to \$500,000.

1. Click on *Cost Sharing Equal To or Greater Than \$500,000* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Screen* (Figure 22) will appear. Annual cost sharing history is displayed at the bottom of the screen. This section compares the cumulative cost-sharing amount reported to date and the cumulative budgeted amount by computing the difference.

**Notification for Award : 0700000**  
**Cost Sharing Equal To or Greater Than \$500,000** Topic Guidance: [GPM](#)

*Enter the Start and End Dates (mm/dd/yyyy) and the Cost Sharing Amount for the reporting period.  
 Enter the Cumulative Cost Sharing Amount reported to date (including the Cost Sharing Amount for this reporting period.)*

Status: New  
 Expiration Date: 03/15/2010  
 Award Title: Rules

\*Start Date:   (mm/dd/yyyy)  
 \*End Date:   (mm/dd/yyyy)

\*Cost Sharing Amount for the reporting period:    
 \*Cumulative Cost Sharing Amount reported to date:    
 (including the Cost Sharing Amount for this reporting period)

\*Cost Sharing Notification Type:  Annual Cost Sharing Notification  
 Final Cost Sharing Notification

Explanation:

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**Annual Cost Sharing History:**

Period	AOR Name	AOR Date Signed	NSF Reviewed Date	Fiscal Year	Reported Period Start Date	Reported Period End Date	Reported Period Cost Sharing Amount	Cumulative Cost Sharing Amount Reported To Date
1	alphanan, Alan	09/13/2003			03/15/2001	03/14/2002	\$1,000.00	\$5,000.00
2	alphanan, Alan	12/09/2003			03/15/2002	03/14/2003	\$10,000.00	\$15,000.00
3	alphanan, Alan	12/09/2003			03/15/2003	12/09/2003	\$500.00	\$15,500.00

Cumulative Budgeted Line M Amount: \$0.00  
 Difference: -  
 (This amount does not include any cost sharing amounts previously reported to NSF in hardcopy ) \$11,500.00

Figure 22. Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification (Follow-on)

3. Enter in the *Start* and *End* Dates.
  - a. Entries must be submitted beginning with the Start and End Date for the reporting period.
  - b. The Start and End Date text boxes cannot be left blank.
  - c. The Start Date cannot be greater than the End Date.
  - d. The Start Date and end dates should not be greater than today's date.
  - e. The Start Date and End Date are defaulted based on previous years.
4. Enter in Amount for *Cost Sharing Amount for the Reporting Period*.
5. Enter in Amount for *Cumulative Cost Sharing Amount Reported to Date*.

- a. The Cost-sharing amount needs to be entered into the next field along with the cumulative cost-sharing amount reported to this date.
  - b. *Cumulative Cost Sharing Amount Reported to Date* should be equal to *Cost Sharing Amount for the Reporting Period* plus *Cumulative Cost Sharing Amount Reported to Date* for all previous years.
  - c. Amount fields do not allow \$ signs or a comma.
6. Go to Step 6 in Method One.

**Method Four:** Complete a Cost Sharing Equal To or Greater Than \$500,000 Notification for a follow on year Line M budget amount that is less than or equal to \$500,000.

1. Click on *Cost Sharing Equal To or Greater Than \$500,000* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Not Required Screen* (Figure 21) will appear.
3. If you wish to create a notification regardless if the notification is less than the \$500,000 limit, click **Continue to Prepare Notification**, the *Cost Sharing Equal To or Greater Than \$500,000 Grantee Notification Screen* (Figure 22) will appear. Go to Step 2 of Method Three.

Or

If you do not wish to complete a notification, click **Search Prepared by SPO List**, the *Select the Notification or Request Type Page* (Figure 16) will appear.

**Significant Changes/Delays or Events of Unusual Interest**

Completing this notification allows the user to inform NSF in the event there are problems, delays or adverse conditions that will materially affect the ability to attain the objectives of the project or to meet such time schedules as may have been promised. The following actions are made to complete this notification:

1. Click on *Significant Changes/Delays or Events of Unusual Interest* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Significant Changes/Delays or Events of Unusual Interest Grantee Notification Screen* (Figure 23) will appear.
3. Describe the significant changes/delays or events that affect the project in the first text box.
4. Provide a statement on the Impact of the Project in the second text box.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web interface for 'Notifications & Requests' at the National Science Foundation. The main heading is 'Modify Notification for Award #: 9996340' with a sub-heading 'Significant Changes/Delays or Events of Unusual Interest (Other than changes in objective or scope)'. The status is 'New', the expiration date is '12/31/2002', and the award title is 'CAREER: Transcending the Limits to ILP Processing'. There are two text input fields: '\* Description of Changes/Delays or Event:' and '\* Impact on the Project:'. 'Save' and 'Cancel' buttons are visible on the right side.

**Figure 23. Significant Changes/Delays or Events of Unusual Interest Grantee Notification**

### Conflicts of Interests

A conflict of interest exists when the reviewer reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of NSF-funded research or educational activities. Such a situation warrants creation of this notification. It is used for any conflict of interest between parties which cannot be satisfactorily managed must be reported to NSF. Complete the following steps to create this notification:

1. Click on *Conflicts of Interests* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Conflicts of Interests Grantee Notification Screen* (Figure 24) will appear.
3. Enter a description of the nature of the conflict.
4. Enter in an explanation of why the conflict of interest cannot be satisfactorily managed.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web interface for managing notifications. At the top, there's a navigation bar with 'Notifications & Requests | MAIN' and 'Institution: National Science Foundation'. Below that are tabs for 'Forwarded by PI', 'Prepared by SPO', and 'All by Status'. The main content area displays details for a notification: 'Modify Notification for Award # : 9996340' and 'Conflicts of Interests which cannot be satisfactorily managed'. It lists 'Topic Guidance: GPM', 'Status: New', 'Expiration Date: 12/31/2002', and 'Award Title: CAREER: Transcending the Limits to ILP Processing'. There are two large text input fields for entering the nature of the conflict and the explanation. 'Save' and 'Cancel' buttons are positioned to the right of these fields.

Figure 24. Conflicts of Interests Grantee Notification

### **Significant Changes in Methods/Procedures**

NSF believes that the PI, operating within the established policies of the grantee organization, should feel free to pursue interesting and important leads that may arise during the conduct of the research project or to adapt an alternative approach which appears to be a more promising means of achieving the objectives of the project. Such changes that are significant in methods or procedures should be reported to the NSF. Complete the following steps:

1. Click on *Significant Changes in Methods/Procedures* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**. The *Significant Changes in Methods/Procedures Grantee Notification Screen* (Figure 25) will appear.
2. Enter the description of change(s) in methods/procedures in the text box.
3. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

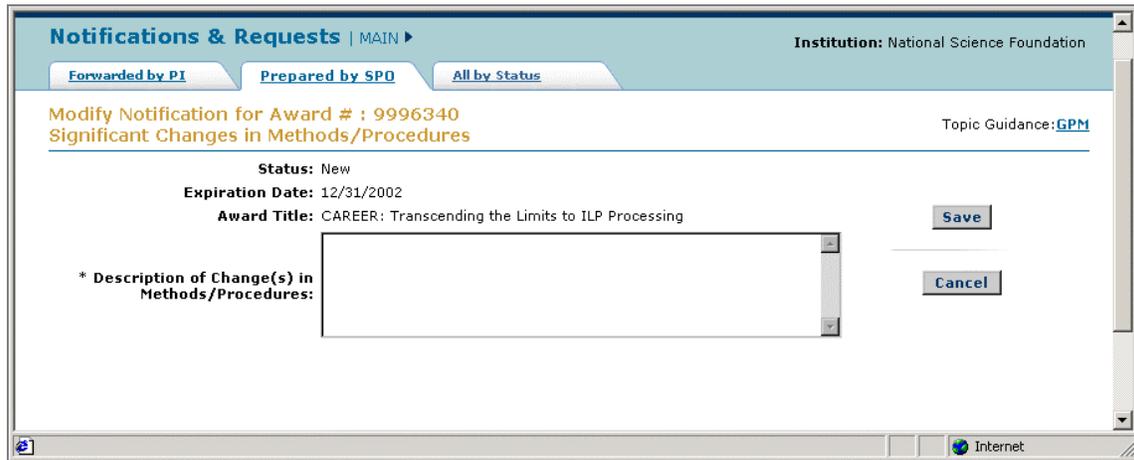


Figure 25. Significant Changes in Methods/Procedures Grantee Notification

**Short-Term Absence of the PI/PD (Up to Three Months)**

This notification should be made to the grantee notification when the PI/PD will be absent from the project for short periods up to three months. The following conditions are required for this notification:

1. This notification is mandatory when a PI will not be able to fulfill his/her duties for up to three months. For absences over three months, a Long Term Absence of PI/PD (Over Three Months) should be completed.
2. The grantee shall notify the NSF Program Officer of arrangements for conduct of the project during the PI/PD's temporary absence.

Complete the following steps for the notification:

1. Click on *Short-Term Absence of the PI/PD (Up to Three Months)* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Short-Term Absence of the PI/PD (Up to Three Months) Grantee Notification Screen* (Figure 26) will appear.
3. Enter the *From Date* and *To Dates* of the PI absentee period. The *From Date* should be less than the *Absence To Date*. The difference between the *From Date* and *To Date* should be less than 3 months.
4. Enter Justification for Short-Term Absence of the PI/PD and Arranges for Conduct of Project During PIs Absence in the provided text boxes.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

**Notifications & Requests** | MAIN ▶ Institution: National Science Foundation

Forwarded by PI | **Prepared by SPO** | All by Status

Modify Notification for Award : 9996340 Topic Guidance: [GPM](#)  
Short-Term Absence of the PI/PD (Up to Three Months)

**Status:** New

**Expiration Date:** 12/31/2002

**Award Title:** CAREER: Transcending the Limits to ILP Processing

**\*From Date:**  (mm/dd/yyyy)

**\*To Date:**  (mm/dd/yyyy)

**\*Justification for Short-Term Absence of the PI/PD:**

**\*Arrangements for Conduct of Project During PIs Absence:**

Figure 26. Short-Term Absence of the PI/PD Grantee Notification

## Grantee Request Types

All Grantee Request Types require NSF approval.

### Addition of SubAward

Excluding the procurement of items such as commercially available supplies, materials, equipment, or general support services allowable under the grant, no significant part of the research or substantive effort under an NSG grant may be contracted or otherwise transferred to another organization without prior NSF authorization. The intent to enter into such arrangements should be disclosed in the proposal submission.

The *Request for Addition of SubAward Screen* provides the user with current SubAward requests that have a status of Forwarded, In Progress, and Submitted as well as form preparation abilities. The following conditions apply to this request:

1. Forms with a \* are required in order to complete an *Addition of SubAward Form Preparation Request*.
2. At a minimum the following forms must be completed:
  - a. a clear understanding of the work to be performed
  - b. the basis for selection of the subawardee
  - c. a separate budget for each subaward
3. Each individual section can be displayed by clicking on the corresponding “GO” button, and will display a saved date upon submission

Complete the following steps for an Addition of SubAward:

1. Click on *Addition of SubAward* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Request for Addition of SubAward Screen* (Figure 27) will appear.

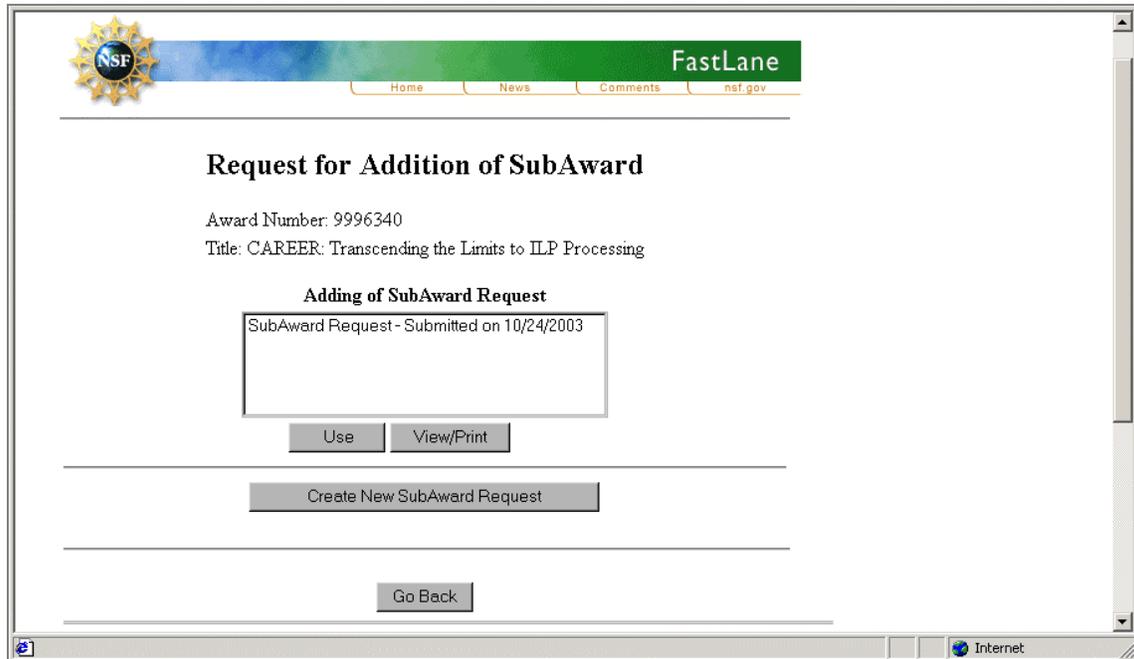


Figure 27. Request for Addition of SubAward

3. Existing SubAward Requests will be present in the text box.
4. Click on **Use** to use a previously written request  
Or  
**View/Print** to see the existing request  
Or  
**Create New SubAward Request.** The *Addition of SubAward Form Preparation Page* (Figure 28) will appear.
5. Click on the appropriate **GO** to complete the form. Detailed descriptions of each form are discussed in succeeding sections.  
Or  
Click **Delete This Request** to delete the request.  
Or  
Click **Go Back** to return to the *Request for Additional SubAward Screen* (Figure 27).

**Addition of SubAward**

Award Number: 9996340  
Title: CAREER: Transcending the Limits to LLP Processing

**Form Preparation**

**To prepare a form, click on the appropriate button below.**  
You must complete the forms with the \* (required), in order to Submit the request.

Form	Saved	Form	Saved
<input type="button" value="GO"/> Description of work to be performed *	N/A	<input type="button" value="GO"/> Justification for Subawardee selection *	N/A
<input type="button" value="GO"/> Budgets (Including Justification) *	N/A	<input type="button" value="GO"/> Supplementary Docs	N/A
<input type="button" value="GO"/> Add/Delete Senior Personnel (other than PI/Co-PI)	N/A		

**Please fill out the required forms.**

---

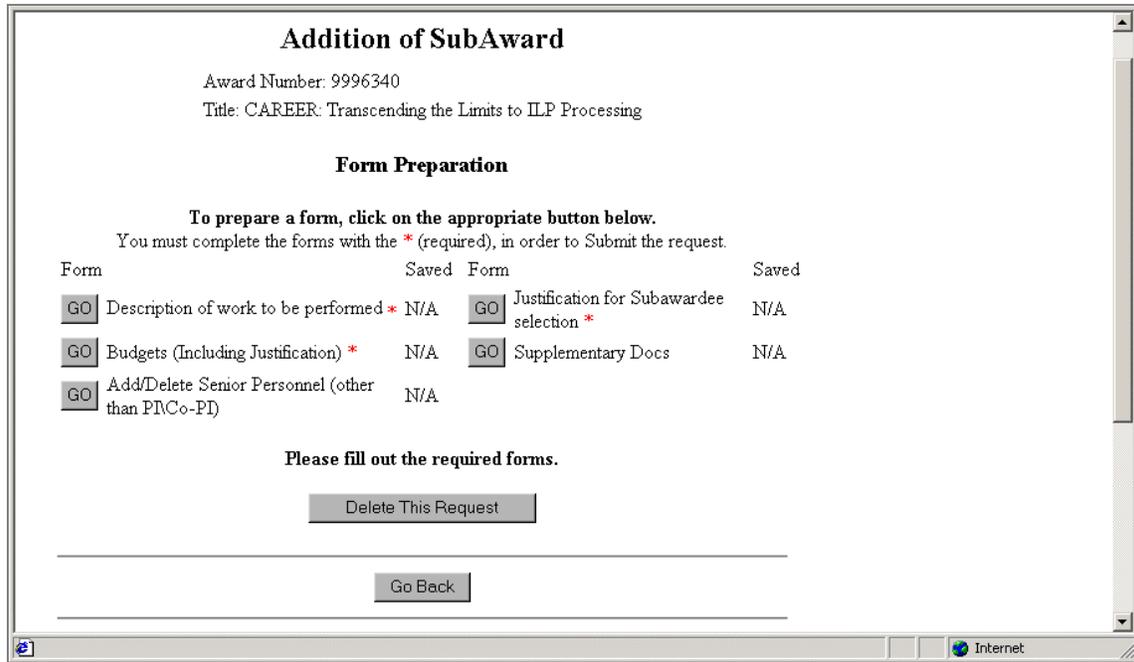


Figure 28. Addition of SubAward Form Preparation

## Description of Work to Be Performed

This preparation selection requires the uploading of the document directly to the page. Complete the following steps:

1. Click **GO** on *Description of Work to Be Performed*.
2. The *Description of Work to Be Performed* section (Figure 29) will appear.
3. Enter the path name of the file into the available field

Or

Click **Browse...** to locate a document by searching through available files.

4. Click **Upload File**.

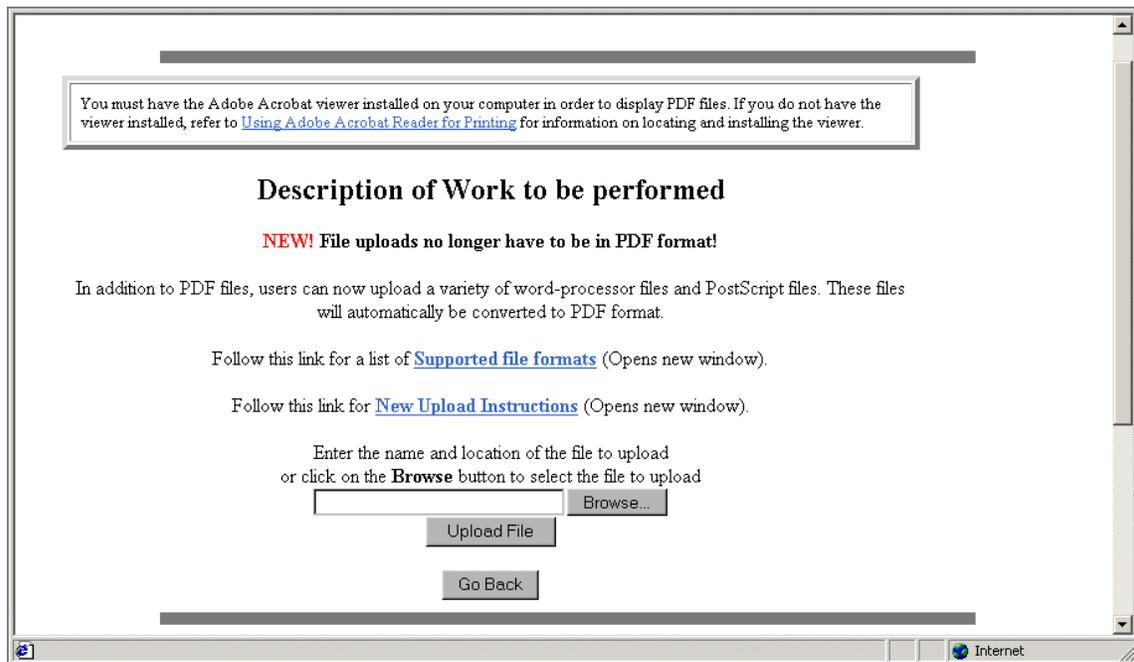


Figure 29. Addition of SubAward (Description of Work to Be Performed)

## Budgets (Including Justification)

Use the following steps to complete the form:

1. Click **GO** on *Budgets (Including Justification)*.
2. The *Budgets (Including Justification) Page* (Figure 30) will appear.
3. Select the specific organization.
4. Click (depending on your request) **Use**

Or

**Delete**

Or

**Change Organization ID**

Or

**Change SubContract PI**

5. Click **Add New Org** to create a new name to modify in the Budget Organization Selector.

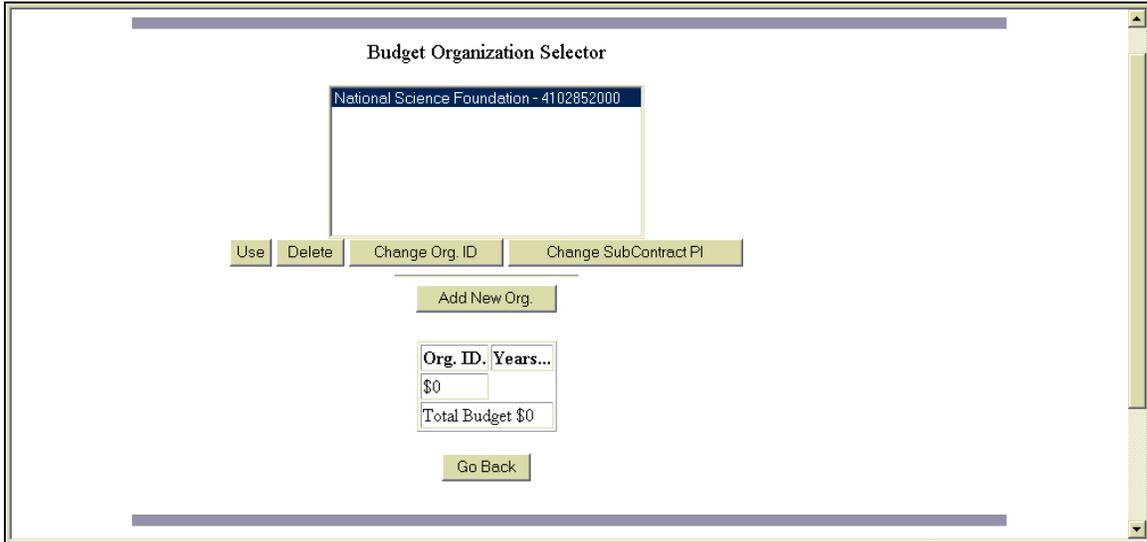


Figure 30. Addition of SubAward (Budgets (Including Justification))

### Add/Delete Non Co-Principal Investigator (Co-PI)

Complete the following steps:

1. Click **GO** on *Budgets (Including Justification)*.
2. The *Add/Delete Non Co-PI Section* (Figure 31) will appear.
3. Enter the first name, last name, and middle initial for each senior personnel on the SubAward budget.
4. Click **Add Non Co-PI Senior Person to Proposal** to attach the senior personnel to the SubAward budget.

5. To delete a user, select people already appearing as members on the list and then click on the corresponding button.

**Add/Delete Non Co-Principal Investigator (Co-PI)  
Senior Personnel Assigned to Proposal**

---

**No Non Co-PI Senior Personnel**

Currently, there are no Non Co-PI Senior Personnel assigned to Proposal #6286965

---

**To Add a new Non Co-PI Senior Personnel** to proposal #6286965, type the name of the person in the fields below and click the '**Add Non Co-PI Senior Person to Proposal**' button.

Enter the first name, middle initial, and last name.

First Name:

Middle Initial:

Last Name:

**Add Non Co-PI Senior Person to Proposal**

**Go Back**

**Figure 31. Addition of SubAward (Add/Delete Non Co-PI)**

### **Justification for SubAwardee Selection**

This form requires the uploading of the document directly to the page. Complete the following steps:

1. Click **GO** on *Justification for SubAward Selection*.
2. The *Justification for SubAward Selection* (Figure 32) will appear.
3. Enter the path name of the file into the available field

Or

Click **Browse...** to locate the document by searching through available files.

4. Click **Upload File**.

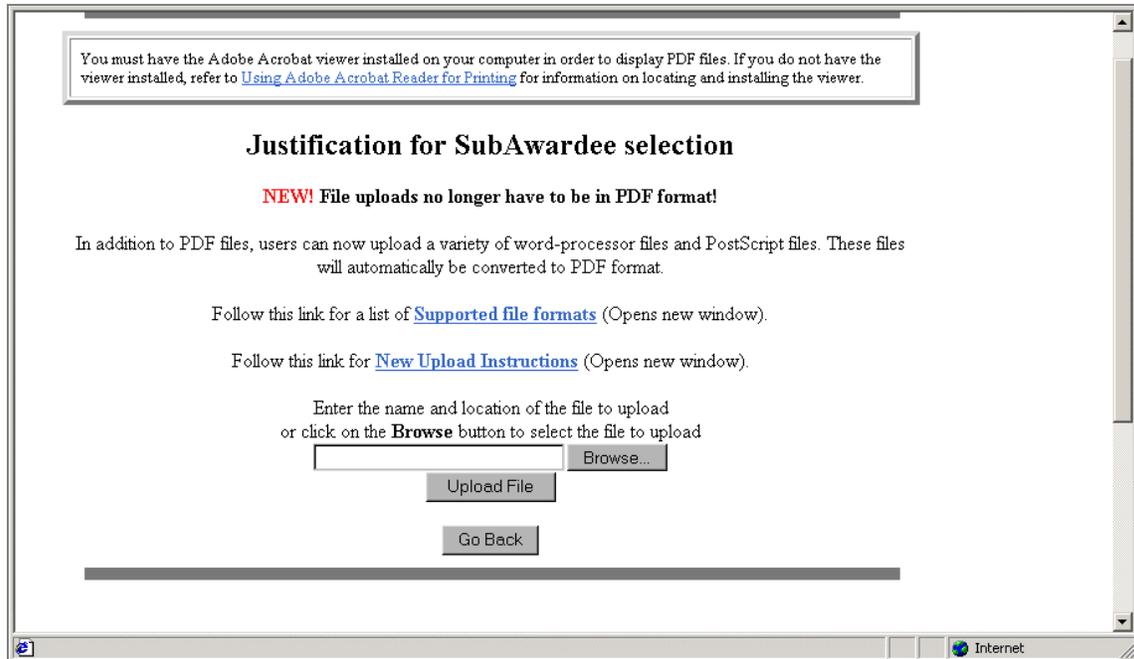


Figure 32. Addition of SubAward (Justification for SubAwardee Selection)

### Supplementary Documents

This form requires the uploading of the document directly to the page. Complete the following steps:

1. Click **GO** on *Supplementary Documents*.
2. The *Supplementary Documents Selection* (Figure 33) will appear.
3. Enter the path name of the file into the available field

Or

Click **Browse...** to locate the document by searching through available files.

4. Click **Upload File**.

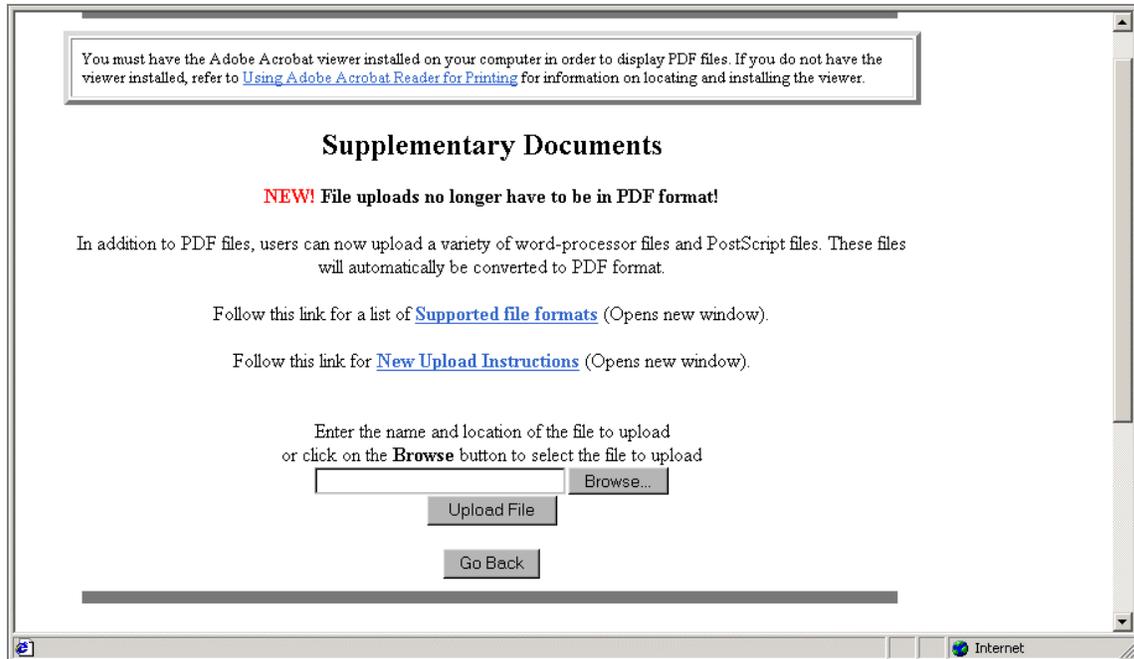


Figure 33. Addition of SubAward (Supplementary Documents)

### **Withdrawal of PI/Co-PI**

Use this notification in the event the PI/Co-PI severs his/her connection with the grantee organization or otherwise relinquishes active direction of the project, the grantee, or equivalent. Complete the following actions:

1. Click on *Withdrawal of PI/Co-PI* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Withdrawal of PI/Co-PI Screen* (Figure 34) will appear.
3. Enter the *Rationale for Withdrawal* in the provided text box.
4. Enter the *Impact on the Project* in the provided text box.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web application window titled "Notifications & Requests | MAIN". The institution is identified as "National Science Foundation". There are three tabs: "Forwarded by PI", "Prepared by SPO", and "All by Status". The main content area displays "Modify Request for Award # : 9996340" and "Withdrawal of PI/Co-PI". The status is "New" and the expiration date is "12/31/2002". The award title is "CAREER: Transcending the Limits to ILP Processing". There are two text input boxes: "\*Rationale for Withdrawal:" and "\*Impact on the Project:". There are "Save" and "Cancel" buttons. The window title bar shows "Internet".

Figure 34. Withdrawal of PI/Co-PI Grantee Request

**Long-Term Absence of the PI/PD (Over Three Months)**

This notification should be made to the grantee notification when the PI/PD will be absent from the project for a period greater than three months (e.g. sabbatical leave). The following conditions are for this notification:

1. This notification is mandatory when a PI will not be able to fulfill his/her duties for over three months. For absences of three months or less, a Short Term Absence of PI/PD (Up To Three Months) should be completed.
2. The PI intends to return.
3. Arrangements must be made for the oversight of the project.
4. Notification must be provided at least 30 days before departure or as soon as practicable after the prospective absence is known.
5. NSF will provide written approval to the grantee if the arrangements are satisfactory, but no formal amendment to the grant will be made.

Complete the following steps for this notification:

1. Click on *Long-Term Absence of the PI/PD (Over Three Months)* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Long-Term Absence of the PI/PD (Over Three Months) Screen* (Figure 35) will appear.
3. Enter *From Date* and *To Dates* of the PI absentee period.
  - a. The *From Date* should be less than the *Absence To Date*.
  - b. The difference between the *From Date* and *To Date* should be greater than 3 months.
4. Enter *Justification for Short-Term Absence of the PI/PD* in the provided text box.
5. Enter *Arrangements for Conduct of Project During PIs Absence* in the provided text box.
6. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

**Notifications & Requests** | MAIN ▶ Institution: National Science Foundation

Forwarded by PI | Prepared by SPD | All by Status

Modify Request for Award # : 9996340  
Long-Term Absence of the PI/PD (Over Three Months) Topic Guidance: [GPM](#)

---

**Status:** New

**Expiration Date:** 12/31/2002

**Award Title:** CAREER: Transcending the Limits to ILP Processing

**\*From Date:**  (mm/dd/yyyy)

**\*To Date:**  (mm/dd/yyyy)

**\*Justification for Long-Term Absence of the PI/PD:**

**\*Arrangements for Conduct of Project During PIs Absence:**

Figure 35. Long-Term Absence of the PI/PD Grantee Request

**NSF Approved No-Cost Extension**

If additional time beyond the extension provided by the grantee is required and exceptional circumstances warrant, a formal request must be submitted to NSF. The requestor is encouraged to request for a Grantee Extension before requesting an NSF Approved No-Cost Extension. The following conditions apply regarding this grantee request:

1. The request must be submitted to NSF at least 45 days prior to the expiration date of the grant.
2. The request must explain the need for the extension and include an estimate of the unobligated funds remaining and a plan for their use.
3. Unobligated funds that remain at the expiration of the grant are not in itself sufficient justification for an extension.
4. All NSF-approved extensions must be submitted via FastLane.
5. Grantees are not authorized to extend an award that contains a zero balance.
6. Grantees are cautioned not to make new commitments or incur new expenditures after the expiration date in anticipation of a no-cost extension.
7. The Plan for use of unobligated funds must comply with previously approved objections.

Users must complete the following steps to request:

1. Click on *NSF Approved No-Cost Extension* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *NSF Approved No-Cost Extension* Screen (Figure 36) will appear.
3. Enter the *Revised Expiration Date* in the provided text box.
4. Enter in the *Remaining Funds* in the provided text box (does not allow \$ signs and commas).
5. Enter the *Justification* in the provided text box.
6. Enter the *Plan for use of unobligated funds*.
7. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type* Page (Figure 16).

The screenshot shows a web application window titled "Notifications & Requests | MAIN". The institution is identified as "Rensselaer Polytechnic Institute". There are three tabs: "Forwarded by PI", "Prepared by SPD", and "All by Status". The main content area is titled "Modify Request for Award # : 9984478" and "NSF Approved No - Cost Extension". A "Topic Guidance: GPG" link is visible. The form contains the following fields and information:

- Status:** New
- Expiration Date:** 12/31/2003
- Award Amount:** \$409,810.00
- Award Title:** CAREER: Microstructure Evolution and Interfacial Reaction Paths in Cu Alloy Thin Films
- Prepared By:** Ramanath, Ganapathiraman
- Submitted By:** (empty field)
- \* Revised Expiration Date:** (empty field) (MM/YYYY - always expires on the last day of the month)
- \* Remaining Funds (in Whole dollar amount):** (empty field)
- \* Justification:** (empty text area)
- \* Plan for use of unobligated funds (plan must comply with previously approved objections):** (empty text area)

On the right side, there is a grey box with the text: "Must be received By NSF Program Office 45 days prior to the expiration of the grant". Below this box are "Save" and "Cancel" buttons. The bottom of the window shows a taskbar with an "Internet" icon.

Figure 36. NSF Approved No-Cost Extension Grantee Request

**Pre-award Costs in Excess of 90 Days**

The following conditions apply for a request for Pre-award Costs in Excess of 90 Days:

1. Requests must be submitted via FastLane.
2. Pre-award advanced funding is necessary for the effective and economical conduct of the project.
3. Pre-award expenditures are made at the grantee's risk.
4. Grantee authority to approve pre-award costs does not impose an obligation on NSF:
  - a. In the absence of appropriations.
  - b. If an award is not subsequently made.
  - c. If an award is made for a lesser amount than the grantee anticipated.

Complete the following steps for creating the request:

1. Click on *Pre-award Costs in Excess of 90 Days* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Pre-award Costs in Excess of 90 days Grantee Request Screen* (Figure 37) will appear.
3. Enter the *To Date* and *From Date* or select a date by using the calendar feature (should be greater than today's date).
4. Enter the *Amount* (Amount fields do not allow \$ signs and commas).
5. Enter the *Justification for Pre-award Costs in Excess of 90 Days*.
6. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web application window titled "Notifications & Requests | MAIN". The institution is identified as "National Science Foundation". There are three tabs: "Forwarded by PI", "Prepared by SPD", and "All by Status". The main content area displays the following information:

- Modify Request for Award # : 9996340**
- Pre-Award Costs in Excess of 90 days**
- Topic Guidance: [GPM](#)
- Status:** New
- Expiration Date:** 12/31/2002
- Award Title:** CAREER: Transcending the Limits to ILP Processing
- From Date:**  (mm/dd/yyyy)
- To Date:**  (mm/dd/yyyy)
- \* Amount:**  (in whole dollar amount)
- \* Justification for Pre-Award Costs in Excess of 90 days:**

There are "Save" and "Cancel" buttons on the right side of the form. The browser's taskbar at the bottom shows an "Internet" icon.

Figure 37. Pre-Award Costs in Excess of 90 Days Grantee Request

**Rearrangement/Alteration \$25,000 or over**

Rearrangements and alterations expenditures exceeding \$25,000 may be allowable under NSF grants to adapt space or utilities within a completed structure to accomplish the objective of the NSF-supported activity as long as it meets the following conditions uses the FastLane Notifications and Requests module or any plans for such rearrangement or alteration should be clearly set forth in the proposal.

Complete the following steps for creating the request:

1. Click on *Rearrangement/Alteration \$25,000 or over* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Rearrangement/Alteration \$25,000 or over Grantee Request Screen* (Figure 38) will appear.
3. Enter in *Construction Amount* that is greater than 0 and greater than 10,000 (does not allow \$ signs and commas).
4. Enter in *Description of Construction Activity*.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

**Figure 38. Rearrangement/Alteration \$25,000 or Over Grantee Request**

**Add/Change of PI/Co-PI**

The *Add/Change of PI/Co-PI Grantee Request Screen* (Figure 35) appears when *Add/Change of PI/Co-PI* is selected on the *Select the Notification or Request Type Page* (Figure 14). This request is used when a proposed PI or Co-PI wants to replace the current PI or Co-PI or Add a PI/Co-PI. The following conditions apply:

1. Click on *Add/Change of PI/Co-PI* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Add/Change of PI/Co-PI Screen* (Figure 38) will appear.

**Request for Award 9996340 - Change PI and Add/Change Co-PI**  
 Status: New Request Topic Guidance: [GPM](#)

**1 Confirm Eligibility of Proposed PI/Co-PI**  
 To make changes to the current PI and/or Co-PI(s), enter the proposed PI/Co-PI's SSN# in the corresponding Proposed PI and Co-PI(s) data fields. To add a new Co-PI enter the SSN# in the next available data field. Click "Check" to confirm eligibility. [Privacy Act](#)

	PROPOSED SSN#	PROPOSED NAME		CURRENT NAME
Proposed PI:	<input type="text"/>		Current PI:	Alan Alphaman
Proposed Co-PI 1:	<input type="text"/>		Current Co-PI 1:	
Proposed Co-PI 2:	<input type="text"/>		Current Co-PI 2:	
Proposed Co-PI 3:	<input type="text"/>		Current Co-PI 3:	
Proposed Co-PI 4:	<input type="text"/>		Current Co-PI 4:	
	<input type="button" value="Check"/>			

To remove a Co-PI without a replacement from the project, click [Withdrawal of Co-PI](#)  
 Contact your SPO if the expected name is not associated with the entered SSN.

**PROPOSED:**

**2 Associated Documents**

**3 Justification**

**Figure 38. Add/Change of PI/Co-PI Grantee Request**

3. Confirm the eligibility of the PI/Co-PI by entering the SSN of the proposed member in the field next to the appropriate title. PI/Co-PI duplicates are not allowed and at least one PI/Co-PI must be entered in the request.
4. Click **Check**.
5. Correct Proposed Names will appear in green. Incorrect Proposed Names will appear in red. (Figure 39)

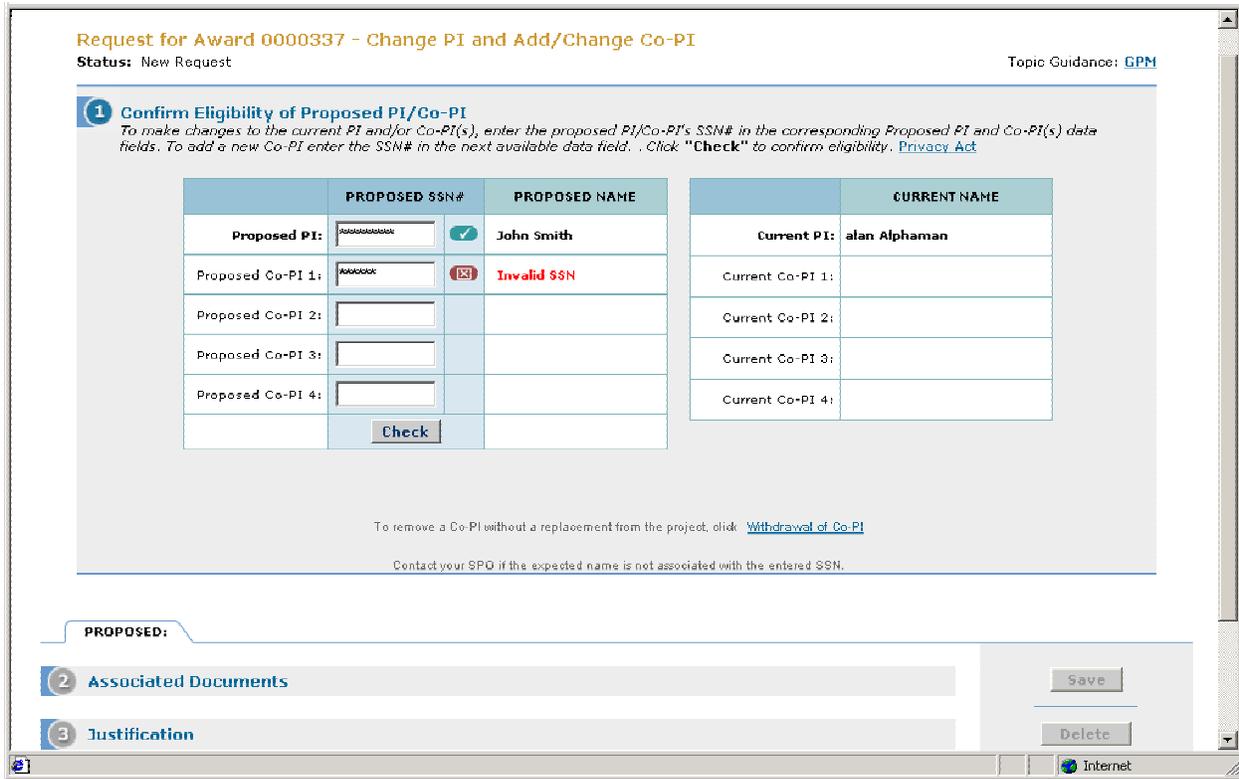


Figure 39. Proposed Names Screen

- Part 2, Associated Documents Section is enabled (Figure 40). Part 1, Confirm the Eligibility Section and Section 3, Justification are disabled.

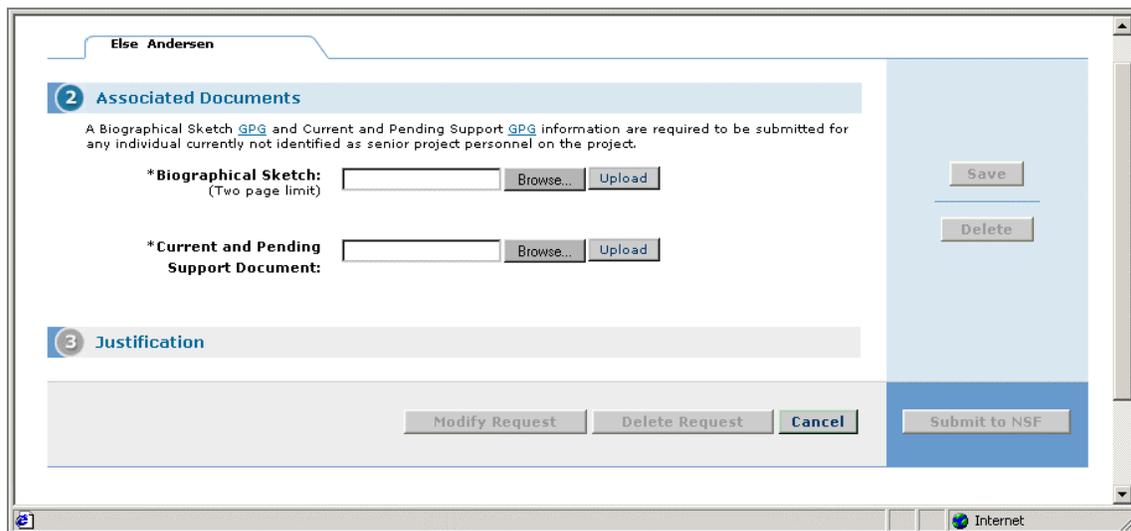


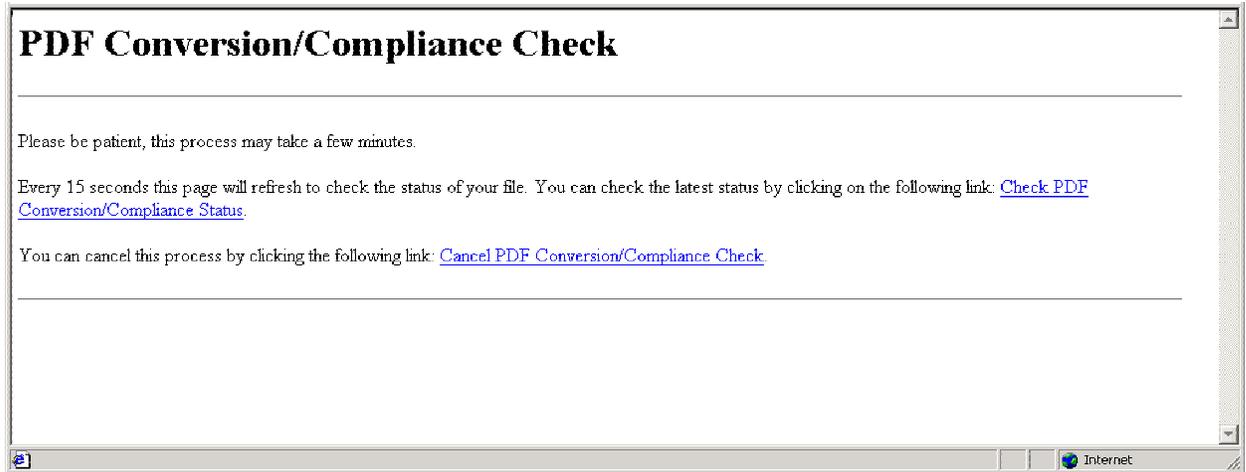
Figure 40. Associated Documents Section Enabled

- To add *Biographical Sketch*, click on **Browse...**

Or

Enter in the document's location to select the appropriate files for upload.

8. A *PDF Conversion/Compliance Check Screen* (Figure 41) will appear to notify you that the Biographical Sketch is being converted for compliance in the request application process.



**Figure 41. PDF Conversion/Compliance Check**

9. Once complete, a *File Successfully Converted/Checked Screen* (Figure 42) will appear. You will be able to proofread the Biographical Sketch.

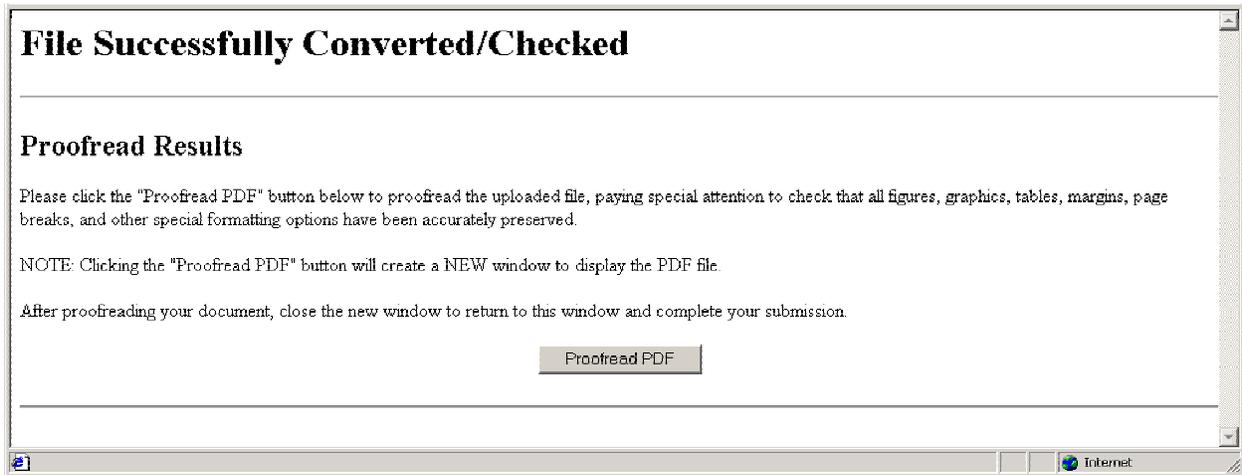


Figure 42. File Successfully Converted/Checked Screen

10. Close the File Successfully Converted/Checked Screen.
11. Click **Upload**.
12. To add *Current and Pending Supporting Document*, repeat steps 7 through 11.
13. The Justification Section is enabled (Figure 43).

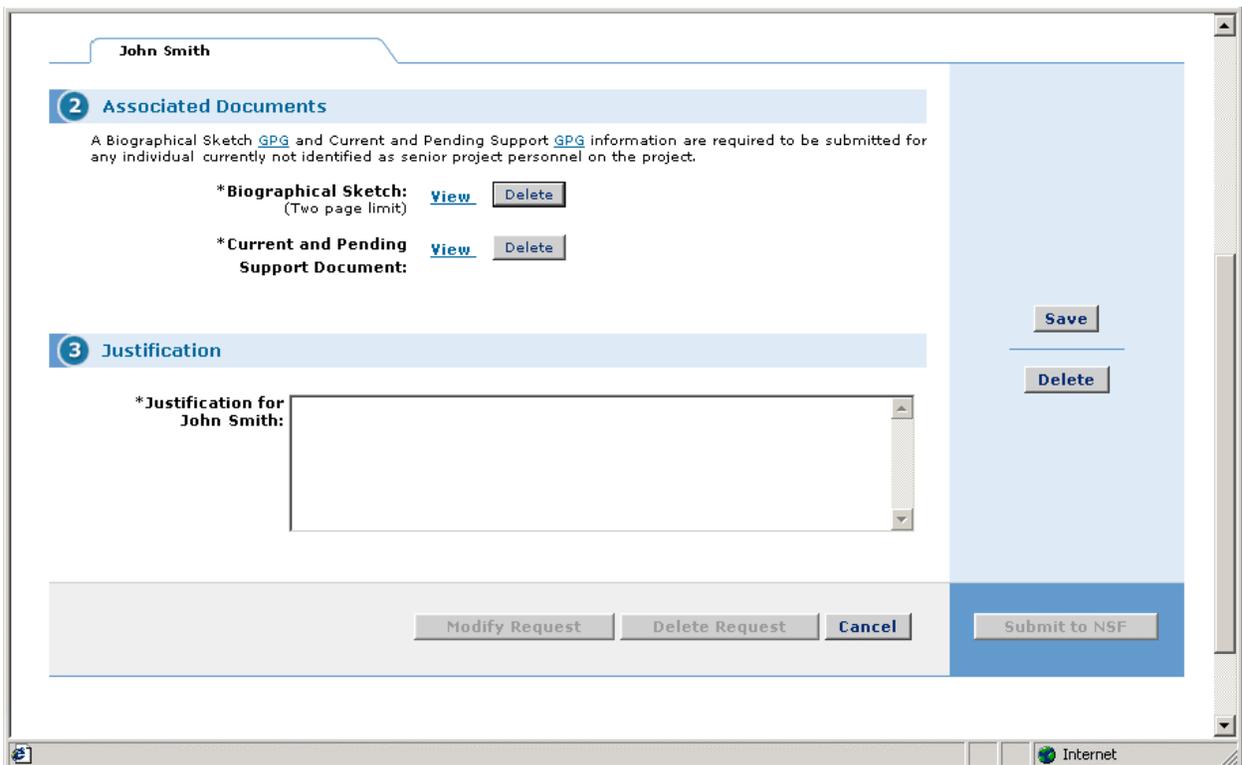


Figure 43. Justification Screen Enabled

14. Enter required field, *Justification For Request*, to explain the change in the corresponding text box.
15. Click **Save**.
16. The **Modify Request**, **Delete Request**, **Cancel**, and **Submit to NSF** buttons are enabled (Figure 42).

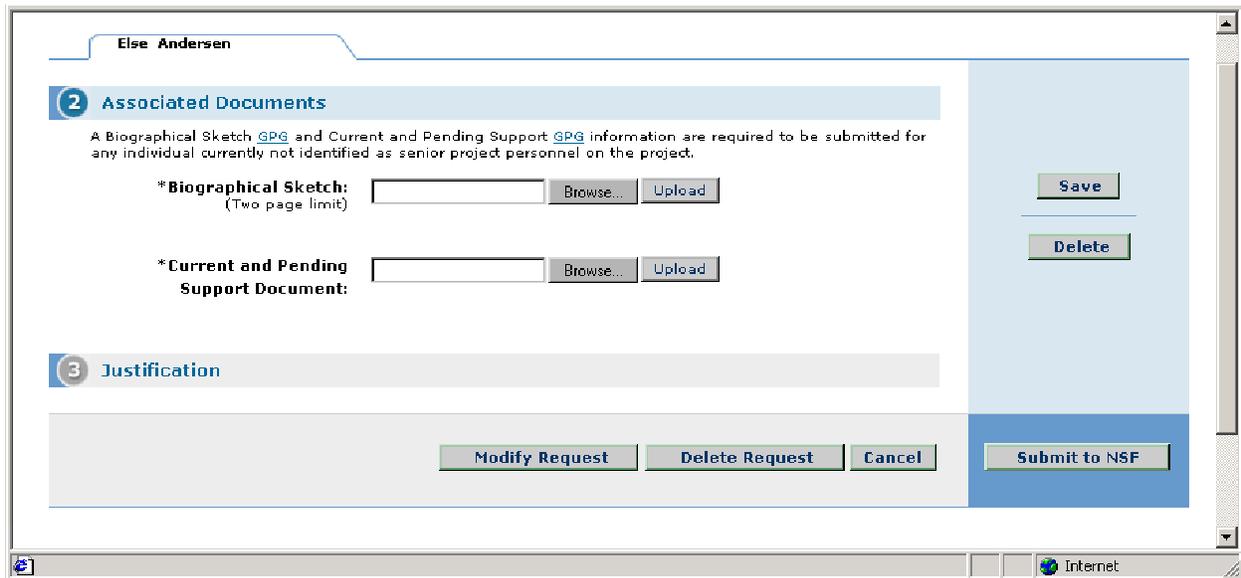


Figure 44. Active Buttons Screen

17. Click **Modify Request** to modify the saved request.  
Or  
Click **Delete Request** to delete the saved request.  
Or  
Click **Cancel** to return to Figure 41.  
Or  
Click **Forward to NSF**.
18. A screen will appear asking if you are sure about your action (Figure 45).

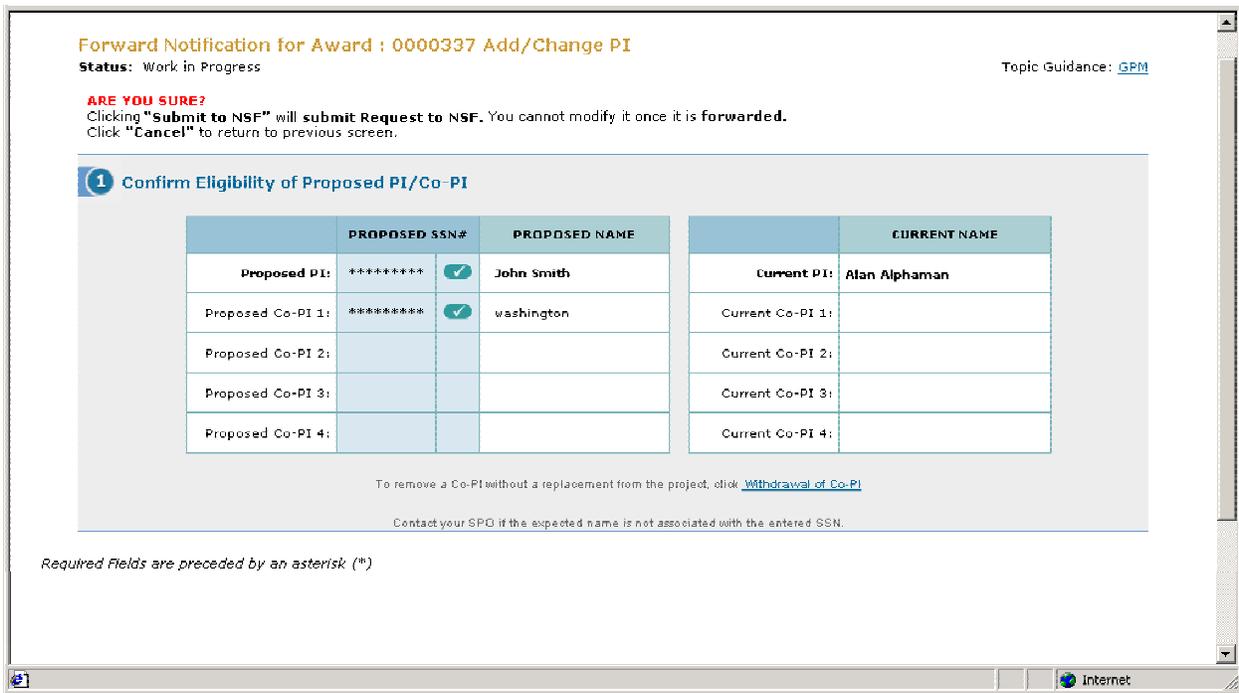


Figure 45. Confirmation Screen

19. If you are sure, click **Submit to NSF**.

Or

If you do not wish to proceed, click **Cancel** to go back to Figure 41.

20. A version of this Final Confirmation Screen will appear (Figure 46).

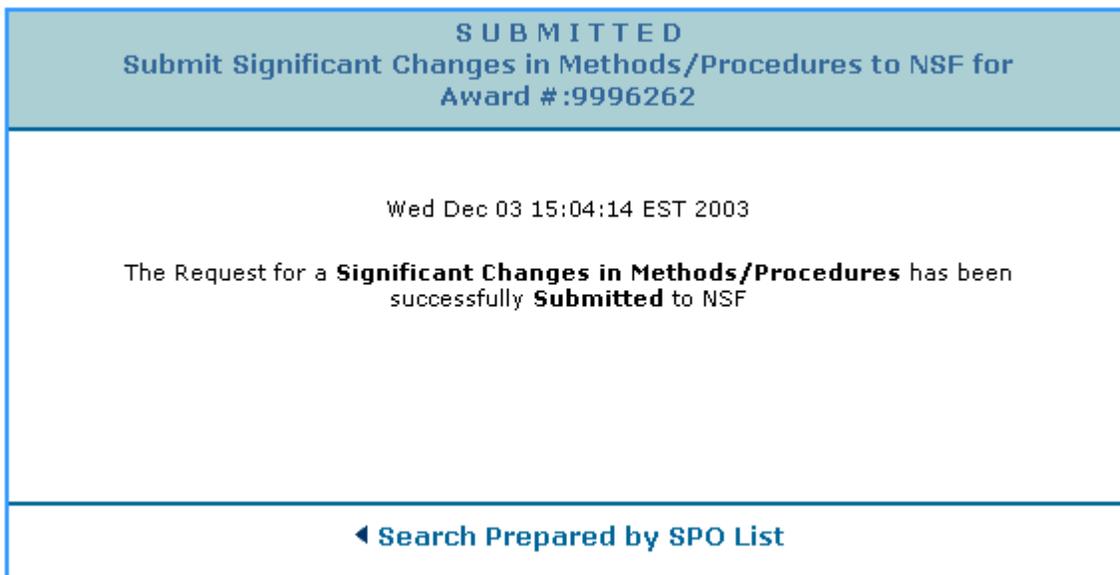


Figure 46. Confirmation Screen

21. Click on Search Prepared by SPO.

22. The *Prepared by SPO Tab Screen* (Figure 13) will appear.

**Significant Change in Person-Months Devoted to Project**

If the PI will devote substantially less time to the project than anticipated in the proposal (a reduction of 25% or more in time), consultation should be made with appropriate officials of the grantee organization and NSF. Complete the following steps for creating this request:

1. Click on *Pre-award Costs in Excess of 90 Days* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Significant Change in Person-Months Devoted to Project Grantee Request Screen* (Figure 47) will appear.
3. Enter in the *Original Time Commitment* and *Revised Time Commitment* (the original and revised times should be between 1 and 255 month integers).
4. Enter in the *Justification for Significant Change in Person-Months Devoted to Project*.
5. Enter in the *Impact on the Project*.
6. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web browser window with the title 'Notifications & Requests | MAIN'. The institution is identified as 'National Science Foundation'. There are three tabs: 'Forwarded by PI', 'Prepared by SPO', and 'All by Status'. The main content area is titled 'Modify Request for Award # : 9996340' and 'Significant Change in Person - Months Devoted to Project'. It includes a 'Topic Guidance: GPM' link. The form fields are: 'Status: New', 'Expiration Date: 12/31/2002', 'Award Title: CAREER: Transcending the Limits to ILP Processing', '\*Original Time Commitment: [input field] (Months in integer number)', '\*Revised Time Commitment: [input field] (Months in integer number)', '\*Justification for Significant Change in Person-Months Devoted to Project: [text area]', and '\*Impact on the Project: [text area]'. There are 'Save' and 'Cancel' buttons on the right side of the form. The browser's status bar at the bottom shows 'Internet'.

Figure 47. Significant Change in Person-Months Devoted to Project Grantee Request

### Changes in Objective or Scope

Neither the phenomena under study nor the objectives of the project stated in the proposal or agreed modifications thereto should be changed without prior NSF approval. Such changes should be proposed to the cognizant NSF Program Officer by submitting this request. Complete the following steps to create this request:

1. Click on *Changes in Objective or Scope* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Changes in Objective or Scope Grantee Request Screen* (Figure 48) will appear.
3. Enter in *Proposed Changes in Objective or Scope* in the provided text box.
4. Enter in *Justification for Changes in Objective or Scope* in the provided text box.
5. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to *Modify, Delete, or Submit to NSF*. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web application interface for 'Notifications & Requests' at the National Science Foundation. The page is titled 'Modify Request for Award #: 9996340' and 'Changes in Objective or Scope'. It displays the following information: Status: New; Expiration Date: 12/31/2002; Award Title: CAREER: Transcending the Limits to ILP Processing. There are two text input fields: '\*Proposed Changes in Objective or Scope' and '\*Justification for Changes in Objective or Scope'. There are 'Save' and 'Cancel' buttons. The page also shows navigation tabs: 'Forwarded by PI', 'Prepared by SPO', and 'All by Status'. The institution name 'National Science Foundation' is displayed in the top right corner. The page also includes a 'Topic Guidance: GPM' link.

Figure 48. Changes in Objective or Scope Grantee Request

**Reallocation of Funds Budgeted for Participant or Trainee Support Costs**

Participant support costs are direct costs for items such as stipends or fees paid to or on behalf of participants or trainees. Funds provided for participant support may not be used by grantees for other categories of expense without the specific prior approval of the cognizant NSF Program Officer. This request is used for that approval request. Complete the following steps to create the request:

1. Click on *Reallocation of Funds Budgeted for Participant or Trainee Support Costs* radio button from the Select Notification or Request Type Screen (Figure 16) and click **Prepare**.
2. The *Reallocation of Funds Budgeted for Participant or Trainee Support Costs Grantee Request Screen* (Figure 49) will appear.
3. Enter in *Originally Approved Amount* in the provided text box.
4. Enter in the *Revised Amount* in the provided text box (ensure that the Original Amount is different from the Revised Amount).
5. Enter in the *Justification for Reallocation of Funds Budgeted For Participants or Trainee Support Costs*.
6. Click on **Save**. A version of the *View Notification Request Page Screen* (Figure 4) will appear. Follow the same directions found in the *Actions to Notifications/Requests* Section (found on Page 7b-4) to Modify, Delete, or Submit to NSF. Return to PI is not an option.

Or

Click **Cancel** to return to the *Select the Notification or Request Type Page* (Figure 16).

The screenshot shows a web-based form for creating a grantee request. The header includes 'Notifications & Requests | MAIN' and 'Institution: National Science Foundation'. Below the header are three tabs: 'Forwarded by PI', 'Prepared by SPD', and 'All by Status'. The main content area is titled 'Modify Request for Award # : 9996340' and 'Reallocation of Funds Budgeted for Participant or Trainee Support Costs'. It lists several fields: 'Status: New', 'Topic Guidance: GPM', 'Expiration Date: 12/31/2002', 'Award Amount: \$200,000.00', and 'Award Title: Non-FastLane'. There are two input boxes for '\*Originally Approved Amount' and '\*Revised Amount', both with '(in whole dollar amount)' instructions. A large text area is provided for '\*Justification for Reallocation of Funds Budgeted for Participant or Trainee Support Costs'. 'Save' and 'Cancel' buttons are visible on the right side of the form.

**Figure 49. Reallocation of Funds Budgeted for Participant or Trainee Support Costs Grantee Request**

## Search for all Notifications and Requests by Status

The *All by Status Tab* (Figure 50) displays all notifications and requests by their current status. The list shows Notifications and Requests by the following criteria:

- Award Number
- PI Name
- Division/Department
- Notification/Request Type
- Award Date
- Status.

Complete the following steps:

1. Sort the list by clicking on the column title.
2. Click on the specific Notification/Request Type to view a document.

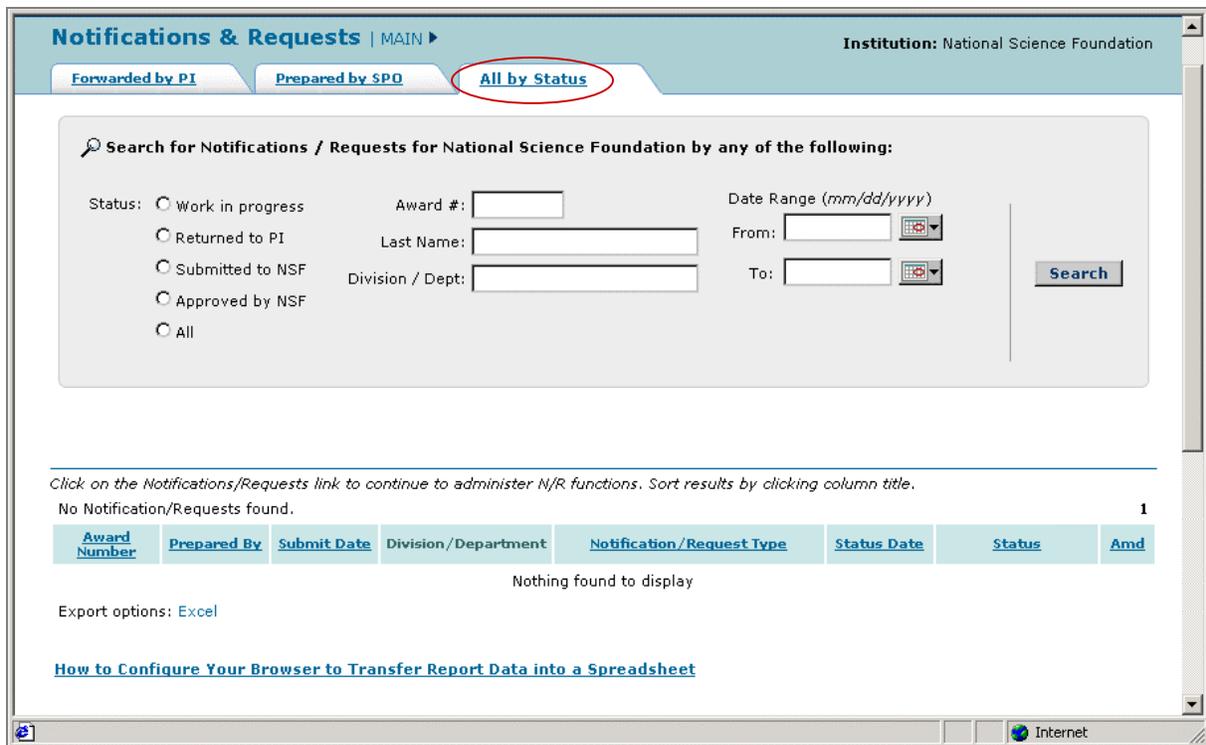


Figure 50. All By Status Tab

The Status function (circled in Figure 51) allows all of the notifications and requests to be filtered down by an additional set of criteria.

- **Work in Progress.** The documents that would be displayed on the first tab in the Notifications/Requests section

- **Returned to PI.** Previous works in progress cannot be viewed.
- **Submitted to NSF.** Documents submitted to NSF can be viewed.
- **Approved by NSF.** Confirms that NSF has received documentation.
- **All.** All of the previous categories will be displayed.

The screenshot shows a search interface titled "Search for Notifications / Requests for National Science Foundation by any of the following:". On the left, there is a "Status:" section with five radio button options: "Work in progress", "Returned to PI", "Submitted to NSF", "Approved by NSF", and "All". This section is circled in red. To the right of the status options are three input fields: "Award #:", "Last Name:", and "Division / Dept:". Further right is a "Date Range (mm/dd/yyyy)" section with "From:" and "To:" fields, each accompanied by a calendar icon. A "Search" button is located on the far right of the interface.

Figure 51. Search function